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Report of the Special Committee on the Charter of the United Nations and on the Strengthening of the Role of the Organization

Repertory of Practice of United Nations Organs and *Repertoire of the Practice of the Security Council*

Report of the Secretary-General

Summary

In conformity with General Assembly resolution 69/122, the report provides an outline of the progress made by the Secretariat since the previous report (A/69/159) in updating the *Repertory of Practice of United Nations Organs* and the *Repertoire of the Practice of the Security Council*. The Assembly is invited to take action in the light of the conclusions drawn in paragraphs 15 and 26.

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I. Introduction

1. The present report has been prepared pursuant to General Assembly resolution 69/122. In paragraph 9 of the resolution, the Assembly commended the Secretary-General for the progress made in the preparation of studies for the *Repertory of Practice of United Nations Organs*, including the increased use of the internship programme of the United Nations and further expanded cooperation with academic institutions for that purpose, as well as the progress made towards updating the *Repertoire of the Practice of the Security Council*. In paragraph 10, the Assembly noted with appreciation the contributions made by Member States to the trust fund for the elimination of the backlog in the *Repertory*, as well as the trust fund for the updating of the *Repertoire* and, in paragraph 11, reiterated its call for voluntary contributions to the trust fund for the elimination of the backlog in the *Repertory*, as well as voluntary contributions to the trust fund for the updating of the *Repertoire* and the sponsoring, on a voluntary basis and with no cost to the United Nations, of associate experts to assist in the updating of the two publications. In paragraph 12, the Assembly called upon the Secretary-General to continue his efforts towards updating the *Repertory* and the *Repertoire* and making them available electronically in all their respective language versions. In paragraph 13, the Assembly noted with concern that the backlog in the preparation of volume III of the *Repertory*, although slightly reduced, had not been eliminated and called upon the Secretary-General to address that issue effectively and on a priority basis, while commending the Secretary-General for progress made in reducing the backlog. In paragraph 14, the Assembly reiterated the responsibility of the Secretary-General for the quality of the two publications and, with regard to the *Repertoire*, called upon the Secretary-General to continue to follow the modalities outlined in paragraphs 102 to 106 of his report of 18 September 1952 (A/2170). Lastly, in paragraph 15, the Assembly requested the Secretary-General to submit a report on both the *Repertory* and the *Repertoire* to the Assembly at its seventieth session.

II. *Repertory of Practice of United Nations Organs*

A. Preparation of supplements to the *Repertory*

2. Bearing in mind the call made upon the Secretary-General, in paragraph 13 of General Assembly resolution 69/122, to address effectively and on a priority basis the backlog in the preparation of volume III of the *Repertory*, the Codification Division of the Office of Legal Affairs, acting as coordinator for the preparation of the *Repertory*, sought to significantly reduce that backlog, in particular regarding volume III, Supplements Nos. 7 to 9 (1985-1999). In line with the understanding with the Department of Peacekeeping Operations referred to in the 2012 report (A/67/189), whereby it was agreed that the Division would reach out to partnering academic institutions potentially willing to prepare draft studies for the Articles of the Charter of the United Nations in question, research and drafting of studies on Articles 52 and 54 for volume III, Supplements Nos. 7 to 9, were completed by the Faculty of Law at the University of Ottawa. The studies are currently under consideration. It is anticipated that academic institutions will be assigned additional studies for volume III, Supplements Nos. 7 to 9. Furthermore, regarding that volume, studies on Articles 33 (1) and 53 were prepared with the assistance of

interns in the Division and are currently under review. Single studies for each of the aforementioned provisions of the Charter address the entire period covered by the three supplements.

3. Significant progress has also been achieved in the preparation of studies for Supplement No. 10 (2000-2009). During the reporting period, a study on Article 23 (1) and (3) (as far as the practice of the Security Council is concerned) was finalized by the Department of Political Affairs and is available on the *Repertory* website (www.un.org/law/repertory). Furthermore, a study on Article 16, prepared with the assistance of an intern in the Codification Division, and a study on Article 51, drafted with the assistance of Columbia University Law School, were completed. In addition, studies on Articles 41, 52 and 54 were drafted with the assistance of the Faculty of Law at the University of Ottawa and a study on Article 53 for volume III was prepared with the assistance of a consultant. The studies are currently under review. Studies on Articles 104 and 105 are also in progress in the Office of the Legal Counsel.

4. The finalization of the aforementioned study on Article 16 allowed for the completion of volume II of Supplement No. 10 and its submission, early in April 2015, for translation and publication.

5. During the period under review, the Codification Division, acting as coordinator for the preparation of the *Repertory*, also invited all departments and entities involved in the preparation of *Repertory* studies to participate in the Interdepartmental Committee on Charter Repertory to consider, in particular, the period to be covered by Supplement No. 11. In the light of the experience acquired and lessons learned from the elaboration of previous supplements, it was decided that Supplement No. 11 would cover six years (2010-2015). That time frame appears reasonable to highlight significant trends that are relevant for the interpretation and application of the various provisions of the Charter. Consistent with that decision, a study on Article 13 (1) (a) (provisions relating to the codification and progressive development of international law) for volume II of Supplement No. 11 is currently in preparation in the Division.

6. As is customary, the Department of Public Information and the Dag Hammarskjöld Library played an important role in supporting the research on the *Repertory*.

7. The current status of the publication is as follows: 28 volumes have been published [1] and 15 have been finalized and submitted for translation and publication.[2] Consequently, from among the 56 volumes of which the publication as a whole (original *Repertory* and Supplements Nos. 1 to 11 thereto) should consist, work remains to be completed on 13, 6 of which pertain to Supplement No. 11 (2010-2015), on which work has begun (see para. 5 above), and 4 to Supplement No. 10 (2000-2009), which are at different stages of preparation (see para. 3 above). The other three volumes on which work remains to be completed correspond to volume III of Supplements Nos. 7 to 9.

[1] *Repertory* and Supplements Nos. 1 to 6 (1946-1984), for a total of 26 volumes, and volumes V and VI of Supplement No. 7 (1985-1988).

[2] Volumes I, II and IV of Supplement No. 7 (1985-1988); volumes I, II, IV, V and VI of Supplements Nos. 8 (1989-1994) and 9 (1995-1999); and volumes I and II of Supplement No. 10 (2000-2009).

8. Annex I to the present report sets out the responsibilities of individual Secretariat units for the preparation of *Repertory* studies on individual Articles of the Charter. Annex II provides information on the status of the *Repertory*.

B. Availability of *Repertory* studies on the Internet

9. Studies from 43 complete volumes, including the 15 volumes in processing for publication, are available on the United Nations website for the *Repertory* (www.un.org/law/repertory). Advance versions of several studies on individual Articles for volume III of Supplements Nos. 7 to 9, as well as a considerable number of studies for Supplement No. 10 that have been finalized and are awaiting completion of the respective volumes, continued to be made accessible on the website. The electronic version of the *Repertory* includes a full-text search feature, providing users with the opportunity to search all the studies instantaneously for any word or combination of words in the three languages of the publication (English, French and Spanish).

10. Currently, all studies available in English are on the Internet, and most of them are also available on the Internet in French and Spanish. Finalized studies awaiting publication are placed on the Internet in the language in which they have been prepared (English for most of them and French for some of them). The Secretariat will continue to make available electronically all three language versions of the finalized *Repertory* studies.

C. Cooperation with academic institutions

11. The well-established cooperation with Columbia University Law School continued for the twelfth consecutive year, contributing to the preparation of a study on Article 51 for volume III of Supplement No. 10. The cooperation with the Faculty of Law at the University of Ottawa continued for the fifth consecutive year and contributed to the preparation of studies on Articles 52 and 54 for volume III of Supplements Nos. 7 to 9, as well as studies on Articles 41, 52 and 54 for volume III of Supplement No. 10.

D. Trust fund

12. In its resolution 69/122, the General Assembly reiterated its call for voluntary contributions to the trust fund established pursuant to its resolution 59/44, in order to eliminate the backlog in the *Repertory*. Accordingly, a note verbale was sent to all permanent missions to the United Nations, reminding them of the possibility of making voluntary contributions to the trust fund and inviting them to bring the question of funding for the *Repertory* to the attention of private institutions and individuals that might wish to assist in that regard. The Secretary-General welcomes with appreciation the contribution to the trust fund of $10,000 from Turkey received since the issuance of the previous report on 21 July 2014.

13. During the period under review, a consultant, financed through the trust fund, worked on the preparation of a study on Article 53 for volume III of Supplement No. 10. The further use of consultants for the preparation of studies pertaining to

volumes that are nearing completion is envisaged. Additional contributions to the trust fund are strongly encouraged, so as to allow the Secretariat to effectively eliminate the backlog in the *Repertory*.

E. Recommendations of the Special Committee on the Charter of the United Nations and on the Strengthening of the Role of the Organization

14. The Special Committee on the Charter of the United Nations and on the Strengthening of the Role of the Organization considered the question of the *Repertory* and the *Repertoire* at its session held from 17 to 25 February 2015. In paragraph 75 of its report (A/70/33), the Special Committee recommended, with regard to the *Repertory*, that the General Assembly should commend the Secretary-General for the progress made in the preparation of studies, including the increased use of the internship programme of the United Nations and further expanded cooperation with academic institutions for that purpose; note with appreciation the contributions made by Member States to the trust fund for the elimination of the backlog in the *Repertory*; reiterate its call for voluntary contributions to the trust fund so as to further support the Secretariat in carrying out the effective elimination of that backlog, as well as the sponsoring, on a voluntary basis and with no cost to the United Nations, of associate experts to assist in the updating of the publication; call upon the Secretary-General to continue his efforts towards updating the publication and making it available electronically in all its language versions; note with concern that the backlog in the preparation of volume III of the *Repertory*, although slightly reduced, had not been eliminated, and call upon the Secretary-General to address that issue effectively and on a priority basis, while commending the Secretary-General for progress made in reducing the backlog; and reiterate the responsibility of the Secretary-General for the quality of the *Repertory*.

F. Conclusions

15. **With regard to the *Repertory*, in the light of the foregoing, the General Assembly may wish:**

(a) **To note the current status of the publication, including the progress made in the preparation of *Repertory* studies and in their posting on the Internet in three languages (English, French and Spanish);**

(b) **To consider the recommendations of the Special Committee (see para. 14 above) concerning the increased use of the internship programme of the United Nations and the further expanded cooperation with academic institutions for the preparation of studies; voluntary contributions to the trust fund for the elimination of the backlog in the *Repertory* so as to further support the Secretariat in carrying out the effective elimination of that backlog; the sponsoring, on a voluntary basis, and at no cost to the United Nations, of associate experts to assist in the updating of the publication; the call upon the Secretary-General to continue his efforts towards updating the publication and making it available electronically in all its language versions, and to continue to address effectively and on a priority basis the elimination of the backlog in**

volume III of the *Repertory*; and the reiteration of the responsibility of the Secretary-General for the quality of the *Repertory*;

(c) To note the progress made towards the elimination of the backlog through the utilization of the trust fund; and to strongly encourage States to make additional contributions to the trust fund.

III. *Repertoire of the Practice of the Security Council*

A. Mandate and preparation

16. The *Repertoire of the Practice of the Security Council*, originally mandated by the General Assembly in its resolution 686 (VII), continues to provide a record of the evolving practice and procedure of the Security Council in the framework of the Charter and the Council's provisional rules of procedure. Most recently, by its resolution 69/122, the Assembly called upon the Secretary-General to continue his efforts towards updating the *Repertoire* and making it available electronically in all its respective language versions.

17. Pursuant to the mandate provided by the General Assembly, the Secretariat has continued to make progress in the preparation of supplements to the *Repertoire*. In the past year, the Secretariat worked on the eighteenth Supplement (2012-2013) within the context of the modalities outlined in paragraphs 102 to 106 of the report of the Secretary-General of 18 September 1952 (A/2170).

18. The Secretariat is close to finalizing the drafting of that supplement, with the exception of part IV on the relations with other United Nations organs. As those parts are reviewed and posted online, the groundwork will be initiated for the preparation of the nineteenth Supplement (2014-2015) later in 2015.

19. The Secretariat has continued to produce the *Repertoire* expeditiously, optimizing the limited resources available. The continuous training of staff, the further development of internal databases and the systematization of data collection and analysis have enhanced its ability to produce the *Repertoire*.

20. The continued challenges in terms of editing, translating, indexing and publishing the supplements notwithstanding, there has been considerable improvement in those processes, which has enabled various offices within the Secretariat to overcome some resource constraints and reduce delays in publication.

B. Availability of *Repertoire* studies on the Internet

21. The Secretariat has continued to post advance versions of drafted supplements on the *Repertoire* section of the Security Council website, allowing access to information as swiftly as possible. In addition, the Office of Information and Communications Technology has created a new search engine for the *Repertoire* that is faster, more reliable and more accurate. The search engine has a series of filters enabling users to better understand the structure of the *Repertoire* and search its content more effectively. The website also contains a broad range of research tools relating to the preparation of the *Repertoire*, such as tables and graphs featuring the mandates of all current peacekeeping operations and special political

missions, as well as the relevant provisions of decisions of the Council in relation to cross-cutting agenda items, namely children and armed conflict, women and peace and security, and protection of civilians. The tables and graphs enhance the ability of researchers and others interested in the work of the Council to systematically analyse the practice of the Council in the above-mentioned areas.

22. The Secretariat has also continued to provide information in response to questions received directly and through the *Repertoire* section of the Security Council website relating to both the current and past practice of the Council and its subsidiary organs. During the reporting period, it responded, in a timely and accurate fashion, to communications and requests for information from Member States, as well as from officials of the United Nations system and staff of other international organizations, non-governmental organizations, students, academic scholars and researchers and the private sector.

C. Publication in language versions (print and electronic)

23. Pursuant to General Assembly resolution 55/222, the twelfth to fifteenth Supplements (1993-2007) are scheduled to be made available on the *Repertoire* section of the Security Council website in all official languages by the end of 2015. The English-language version of the sixteenth Supplement (2008-2009) was published in March 2015 and its translation into the other official languages is scheduled to be made available in 2016. Various offices of the Secretariat continue to make every effort to post the latest supplements in the six official languages as soon as they are available.

D. Resources

24. The preparation and publication of the *Repertoire*, as well as the maintenance of its website in all official languages, would not have been possible without the continuing support of the General Assembly. At the same time, in an environment of financial constraint, voluntary contributions to the trust fund for the updating of the *Repertoire* remain an important element for sustaining progress on the *Repertoire*, maintaining its website and continuing to improve the accessibility of information about Security Council practice.

25. The infusion of extrabudgetary resources has enabled the Secretariat to retain the services of temporary staff assisting in the preparation of the *Repertoire*. Since the previous report, contributions to the trust fund have been received from Angola, Benin and Turkey. In addition, Switzerland contributed by sponsoring an associate expert in the Security Council Practices and Charter Research Branch, who made a valuable contribution to advancing the work on the *Repertoire* and thus assisted the Secretariat in its efforts to update the publication. To continue to attain that goal, the Secretary-General invites Member States to continue to support the Secretariat's work on advancing the *Repertoire* through their voluntary contributions.

E. Conclusions

26. **With regard to the *Repertoire*, in the light of the foregoing and the recommendations made by the Special Committee at its session held from 17 to 25 February 2015, the General Assembly may wish:**

(a) **To note the progress made towards updating the *Repertoire*;**

(b) **To note with appreciation the contributions made by Member States to the trust fund for the updating of the *Repertoire* and to reiterate its call for voluntary contributions to the trust fund in order to allow the Secretariat to maintain the progress achieved in the updating of the *Repertoire* in past years;**

(c) **To note the continuing efforts to make the *Repertoire* available in electronic form in all official languages on the United Nations website;**

(d) **To note with appreciation the support that Switzerland extended by sponsoring, on a voluntary basis, an associate expert to assist in updating the *Repertoire*, and to encourage other Member States in a position to do so to consider providing such assistance.**

Annex I

Secretariat units bearing primary responsibility for the preparation of *Repertory* studies on individual Articles of the Charter of the United Nations[a]

Department	*Repertory volume*
Office of Legal Affairs	Volume I: Articles 1 to 7
	Volume II: Articles 13 (1) (a) 18, 19 and 22
	Volume VI: Articles 92 to 99, 102 to 105 and 108 to 111
Department of Political Affairs	Volume II: Articles 10, 12, 13 (1) (a), 14 and 16
	Volume III: Articles 23 to 39 and 107
	Volume V: Articles 73 to 85, 87 and 88
Department of Peacekeeping Operations	Volume III: Articles 40 to 54 and 106
Office for Disarmament Affairs	Volume II: Article 11
Department for General Assembly and Conference Management	Volume II: Articles 9, 15, 20 and 21
	Volume IV: Articles 60, 61, 62 (3) and (4), 65 to 69 and 72
	Volume V: Articles 86 and 89 to 91
Department of Management	Volume II: Article 17
	Volume VI: Articles 100 (1) and 101
Department of Management with Office of Legal Affairs	Volume VI: Article 100 (2)
Department of Economic and Social Affairs	Volume II: Articles 8[b] and 13 (1) (b) and (2)
	Volume IV: Articles 55 (a) and (b), 57 to 59, 62 (1), 63, 64, 70 and 71
Office of the United Nations High Commissioner for Human Rights	Volume II: Article 13 (1) (b)
	Volume IV: Articles 55 (c), 56 and 62 (2)
Office for Outer Space Affairs	Volume II: Article 13 (1) (a)

[a] This distribution is the result of several decisions of the Interdepartmental Committee on Charter Repertory taken at various times since 1996 and is subject to review by the Committee.

[b] The Department of Management (Office of Human Resources Management) is responsible for the preparation of Article 8 for the period up to and including 1996. For the period from 1997 onward, that responsibility falls to the Department of Economic and Social Affairs.

Annex II

Status of the *Repertory of Practice of United Nations Organs* (July 2015)

Volumes published and on the Internet	Volumes submitted for publication and on the Internet	Studies on the Internet (pertaining to volumes not submitted for publication)	Studies in preparation or in review

Note: The organization of studies in volumes, as indicated below, relates to Supplements Nos. 6 to 11, and varies for the original *Repertory* and Supplements Nos. 1 to 5.

Volumes, Articles	*Original Repertory*	*Supplements*										
		1	*2*	*3*	*4*	*5*	*6 1979-1984*	*7 1985-1988*	*8 1989-1994*	*9 1995-1999*	*10 2000-2009*	*11 2010-2015*
Volume I							I	I	I	I	I	
Articles 1-8												
Volume II							II	II	II	II	II	
Articles 9-12 and 13 (1) (a) (first part of the sentence), 13 (1) (b), 13 (2) and 14-22												
Article 13 (1) (a) (second part of the sentence)												
Volume III							III	III	III	III	III	
Articles 23 (1, second phrase) and (2)												
Articles 52 and 54												
Articles 23 (1, first phrase) and (3), 24-32, 33 (2), 34, 35 (General Assembly and Security Council), 36-40, 42, 50 and 51												
Articles 33 (1), 41, 43-48 and 53												
Article 49												
Volume IV							IV	IV	IV	IV	IV	
Articles 55 (a)-(b), 57, 62 (2) and 63												
Articles 55 (c) and 56												
Articles 58-62 (1, 3 and 4) and 64-72												

Volumes, Articles	*Original Repertory*	*Supplements*										
		1	*2*	*3*	*4*	*5*	*6 1979-1984*	*7 1985-1988*	*8 1989-1994*	*9 1995-1999*	*10 2000-2009*	*11 2010-2015*
Volume V							**V**	**V**	**V**	**V**	**V**	
Article 73												
Articles 74-85, 87 and 88												
Articles 86 and 89-91												
Volume VI							**VI**	**VI**	**VI**	**VI**	**VI**	
Articles 92-103 and 106-111												
Articles 104 and 105												

Studies prepared from 1954 to 1980

Studies prepared from 1996 to 2015

Annex III

Status of the *Repertoire of the Practice of the Security Council* (July 2015)

Supplements published and posted on the Internet at www.un.org/en/sc/repertoire/	Advance version available on the Internet	Parts in preparation

A. Status of the completed *Repertoire* supplements

Supplement	*Status*	*Languages*
Original *Repertoire* and Supplements I-IX (1946-1984)		English, French
Supplements X (1985-1988) and XI (1989-1992)		Arabic, Chinese, English, French, Russian, Spanish[a]
Supplement XII (1993-1995)		Chinese, English, French, Russian, Spanish. Arabic ready for web posting
Supplement XIII (1996-1999)		English, other languages ready for web posting
Supplement XIV (2000-2003)		English, translation into other languages in progress
Supplement XV (2004-2007)		English, translation into other languages in progress
Supplement XVI (2008-2009)		English, translation into other languages in progress
Supplement XVII (2010-2011)		English

[a] As mandated by the General Assembly in resolution 55/222, these supplements and future supplements to the *Repertoire* are to be published in all official languages of the United Nations.

B. Status of *Repertoire* supplements in preparation

	Parts (procedural and constitutional)									
	I Overview	*II Provisional rules of procedure*	*III Purposes and principles of the Charter*	*IV Relations with other United Nations organs*	*V Functions and powers of the Security Council*	*VI Pacific settlement of disputes*	*VII Actions with respect to breaches of the peace*	*VIII Regional arrangements*	*IX Subsidiary organs. Committees other bodies*	*X Subsidiary organs: peacekeeping and peacebuilding*
Supplement XVIII (2012-2013)										

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Seventieth session
Item 27 of the provisional agenda*
Towards global partnerships

Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector

Report of the Secretary-General

Summary

The United Nations has made considerable progress in achieving organizational and development goals through partnerships with the private sector. In its resolution 68/234, the General Assembly made a number of recommendations for taking advantage of the unique position of the United Nations to foster new forms of collaboration with the private sector and overcome key operational challenges. Progress in implementing those recommendations has contributed to a more strategic and integrated approach to engaging with business partners and the design of more innovative, effective and impactful partnerships for sustainable development and humanitarian purposes. At the same time, emerging trends are driving new partnership developments within the United Nations and setting the stage for progress to come. The United Nations is becoming more adept at managing the risks of partnering with the private sector, both by improving due diligence and integrity measures and by leveraging its reputation and normative strength to align the business community with the values of the United Nations. To ensure that the United Nations continues to build on this progress, a number of challenges must be addressed. The recommendations presented herein are aimed at ensuring more effective collaboration with the private sector, while respecting the normative standards of the United Nations and its Member States.

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I. Introduction

1. The present report is submitted in compliance with General Assembly resolution 68/234, in which the Assembly requested the Secretary-General to submit a report at its seventieth session on specific progress in terms of integrity measures, transparency, strengthening due diligence measures, improvement and implementation of the Guidelines on Cooperation between the United Nations and the Business Sector, partnership disclosure and strengthening the Global Compact Local Networks. The report builds on previous reports of the Secretary-General on cooperation between the United Nations and relevant partners (A/56/323, A/58/227, A/60/214, A/64/337, A/66/320, and A/68/326).[1]

2. The year 2015 is a milestone one. The Millennium Development Goals expire in 2015 and will be succeeded by the new sustainable development goals. Intergovernmental negotiations on the sustainable development goals ran in parallel with the financing for development process, which focused on how to implement and achieve the goals. As a result, Member States have agreed on the "2030 Agenda for Sustainable Development", to be adopted at the United Nations summit for the adoption of the post-2015 development agenda in September 2015 (see A/69/L.85), and on the Addis Ababa Action Agenda, endorsed by the General Assembly in resolution 69/313 and considered as an integral part of the "2030 Agenda". Moreover, the Conference of the Parties to the United Nations Framework Convention on Climate Change will meet in Paris from 30 November to 11 December 2015, seeking a universal agreement. A two-year consultation process is also under way, leading up to the World Humanitarian Summit to be held in Istanbul, Turkey, in 2016. What is notable about these processes is the active participation not only of Member States, but also of civil society actors and numerous constituency groups, ranging from youth to indigenous peoples to women, as well as the private sector.

3. The inclusion of business representatives in such high-profile global consultations, their outcomes and events represents a significant evolution of public-private collaboration. Governments and international organizations are increasingly recognizing the value of including the private sector. A growing number of companies are identifying strategic opportunities to take action and align their business operations with national and international development priorities. Companies are shifting from a primarily philanthropic approach towards a more strategic and holistic approach to corporate sustainability.

4. An independent impact assessment recently noted significant growth in corporate awareness and understanding of sustainability, responsibility and changing notions of materiality. Integrated corporate reporting, a growing practice increasingly driven by investor demand, underscores that environmental, social and governance issues are material to business performance. New and emerging transformative drivers of corporate sustainability are creating important opportunities for greater and more impactful public-private collaboration.

[1] The present report draws on several sources: an online survey of 18 United Nations agencies, funds and programmes; in-depth interviews with staff members throughout the United Nations system; meetings of the United Nations private sector focal points network and Global Compact Local Networks; the annual Local Networks forum; case studies; and relevant academic literature.

5. In a 2014 survey on sustainability that canvassed 38,000 executives, managers and thought leaders, 90 per cent agreed that effectively addressing sustainability issues cannot be done alone but requires collaboration. This almost universal endorsement of the value of collaboration is built into the design of the sustainable development goals, which include targets for multi-stakeholder partnerships as a key means of implementation.

6. Public-private partnerships are additional and complementary to government action, and can yield positive results which governments may leverage to advance society's best interests. To capitalize on such collaboration to advance sustainable development, the private sector requires the normative guidance and expertise of the United Nations to determine how best to play a constructive role. The sustainable development goals set a very ambitious agenda for addressing a wide range of issues of critical importance to business and society. As areas of intersecting public-private interest continue to deepen, the need and demand for new partnerships between the United Nations and the private sector can only grow. The United Nations will need to have in place effective integrity measures to manage the risks inherent in collaboration.

II. Private sector partnership progress, trends and challenges throughout the United Nations system

A. Progress at the system level

7. The United Nations is increasingly acknowledging the value that business can bring to helping achieve development goals. The General Assembly, in a series of biennial resolutions, has welcomed the efforts of the business sector "to engage as reliable and consistent partners in the development process". The outcome document of the United Nations Conference on Sustainable Development states that implementation of sustainable development depends on the "active engagement of both the public and private sectors" (General Assembly resolution 66/288, annex, para. 46). Throughout the synthesis report of the Secretary-General on the post-2015 agenda (A/69/700), the private sector is identified as a crucial player in realizing the goals of the international community. At the third International Conference on Financing for Development, held in Addis Ababa from 13 to 16 July 2015, Member States agreed to the Addis Ababa Action Agenda (see para. 2 above), a comprehensive framework for financing sustainable development that aligns financing flows and policies with economic, social and environmental priorities. The Agenda recognizes that public-private and multi-stakeholder partnerships are key instruments for mobilizing human and financial resources, expertise, technology and knowledge. Emphasizing the important role of responsible business and investing practices as championed by the United Nations Global Compact, the Agenda invites businesses to apply their creativity and innovation towards solving sustainable development challenges as partners in the development process. The "2030 Agenda for Sustainable Development" (A/69/L.85, annex) calls for the engagement of all stakeholders, including the business community, in the Sustainable Development Goals and targets, the means of implementation, the Global Partnership for Sustainable Development and the follow-up and review. The Addis Ababa Action Agenda is considered an integral part of the 2030 Agenda.

8. In practice, increased interest in involving the private sector has led to more consistent participation of business representatives in United Nations meetings and summits. The annual United Nations Private Sector Forum, hosted by the Secretary-General during the opening session of the General Assembly and organized by the Global Compact in cooperation with other United Nations partners, brings together chief executives and leaders from Government and civil society to address issues of common concern. The 2014 Forum, held as part of the Secretary-General's Climate Summit, highlighted corporate leadership on carbon pricing and related commitments to the climate action agenda. The 2015 Forum highlighted an unprecedented range of new opportunities for public-private collaboration to advance the post-2015 development agenda, and business participants announced new commitments and partnerships with the United Nations for sustainable development.

9. Private sector participation in the post-2015 processes included structured engagement in a number of other ways. The High-level Panel of Eminent Persons on the Post-2015 Development Agenda, established by the Secretary-General in 2012 to advise on the new global development framework, included several respected business leaders. The Global Compact was mandated to feed input directly into the post-2015 processes by supporting the work of the Panel's business representatives in the consultations. It published briefing papers on how the private sector could help implement the post-2015 development agenda. These efforts were undertaken in close cooperation with Global Compact Local Networks. The local networks play a critical role in connecting stakeholders from across sectors to advance partnerships for implementation of the sustainable development goals incorporating a "bottom-up" approach.

10. While the United Nations has managed to include the voice of the private sector in these consultations, events and summits at a level and scale never seen before, a new set of challenges and legitimate concerns must be addressed in the shift from articulating to achieving defined common goals. First, a systemic approach is needed to strengthen private sector input through consultations with follow-up processes. This will aggregate and measure private sector commitments and action in the implementation phase of the sustainable development goals. Second, and related to the first issue, institutional continuity within the United Nations should be reinforced to better engage companies at high-level summits or consultations. As each event or process is often organized by a separate entity, or different staff within each entity, business representatives are invited to speak, but not always engaged in follow-up action plans. Finally, the United Nations should undertake greater efforts to engage small and medium-sized enterprises and companies from emerging and developing markets.

11. In recognition of these challenges and in support of efforts to advance a common approach to transparent private sector engagement in the post-2015 era, the Global Compact is promoting a centralized online platform allowing companies to formally submit detailed commitments to the sustainable development goals that can be monitored and reported on. Companies also have access to a range of new tools and resources such as the "sustainable development goals compass" to assist them in leveraging the goals as a common framework for setting ambitious sustainability goals, communicating progress and measuring impact.

12. In response to calls for greater partnership coherence and transparency, the Global Compact is also redeveloping the United Nations/business website, business.un.org, to enhance its capacity to facilitate public sharing by United Nations entities of existing partnership activities and new opportunities. Effectively measuring the impact of private sector contributions to achieving the sustainable development goals will depend on robust corporate reporting of activities and results. To that end, companies should be encouraged to make annual disclosure of non-financial issues aligned with United Nations principles. The Global Compact communication on progress model provides a framework for such practice.

13. Overall, it is clear that the United Nations has made progress at the system level in recognizing contributions that the private sector can make. The confluence of the post-2015 and financing for development processes, the climate conference and the World Humanitarian Summit, among others, have created considerable opportunities for engaging with the private sector beyond the level of consultations and towards more meaningful collaboration. In this respect, the United Nations must build on positive developments to address challenges and concerns regarding partnership transparency and accountability through continuous collaborative efforts and system-wide improvement.

1. Partnerships in the humanitarian sector

14. One of the key areas in which the United Nations is pursuing new kinds of engagements with business is the humanitarian sector. The growing severity and frequency of disasters and conflicts around the world are challenging the capacity of humanitarian organizations, and the United Nations has realized that it is critical to involve all stakeholders, including the private sector, in its humanitarian work to keep up with these developments. The private sector has resources, reach, technology and other assets that can strengthen the effectiveness and efficiency of humanitarian responses.

15. Engagement with companies for addressing humanitarian and disaster risk management issues mirrors the broader evolution of partnerships between the United Nations and the private sector. From a normative standpoint, the United Nations system is increasingly seeking input from companies in high-level processes for setting strategies in addressing some of the world's most pressing challenges. The Secretary-General and the Office for the Coordination of Humanitarian Affairs are organizing the World Humanitarian Summit, to take place in May 2016 in Istanbul. It aims to find new ways to address humanitarian needs as well as to build a more inclusive and diverse humanitarian system. As a part of the two-year consultation process leading up to the Summit, all groups and sectors, including the private sector, are being called upon to share best practices and find ways to make humanitarian action more effective.

16. A number of United Nations agencies have recognized the value of engaging with the private sector with a view to improving humanitarian response and disaster risk management activities and, as such, increasingly engage the private sector not only for fundraising, but also to obtain expertise and innovative technology. Such partnerships range from joint development of new products, such as temporary shelters, to disaster insurance schemes or agreements with companies to provide standby logistics support in different areas of the world. For example, in the aftermath of typhoon Haiyan in the Philippines in 2013, many local and global

businesses approached United Nations agencies with the desire to become involved. For the first time, the Office for the Coordination of Humanitarian Affairs set up a focal point in the field to coordinate private sector engagement. The focal point liaised with humanitarian cluster leads to identify needs under the Haiyan Action Plan, brought them to the attention of the private sector and matched relevant offers to cluster needs through existing networks and in close cooperation with the Global Compact. Building on lessons learned from this experience, a private sector focal point was once again deployed as part of the United Nations Mission for Emergency Ebola Response.

17. Innovative new technologies and applications, often developed and implemented in cooperation with the private sector, are increasingly being integrated into humanitarian response. Examples include mobile cash and voucher schemes, social media tools, satellite imagery and crisis maps and big data projects. Traditional emergency food delivery is increasingly being replaced by cash and voucher systems allowing beneficiaries to buy their own food from local markets with the help of credit cards or mobile phones. The World Food Programme (WFP) has introduced voucher systems for Syrian refugees in Lebanon and the Syrian Arab Republic. The vouchers not only help WFP save money on freight, but also boost the local economy and allow beneficiaries to purchase what they need most. In addition, in the aftermath of Typhoon Haiyan in the Philippines in 2013 and in subsequent post-disaster contexts, social media, crowdsourcing and other innovative digital platforms have played a crucial role in prioritizing United Nations disaster response efforts and generating better data and analysis of beneficiary needs and concerns.

Box 1

The Ebola Private Sector Mobilization Group

In August 2014, four mining companies operating in West Africa decided to start a dialogue platform to share information about Ebola and its impact on commercial activities. The Ebola Private Sector Mobilization Group turned into a worldwide initiative with more than 100 members at the global level, with many more active in country groups that were set up in Liberia, Guinea and Sierra Leone. Company participants provided crucial support to emergency responders by donating cash, personnel and equipment, as well as lending expertise and advocating for a tightly coordinated cross-sectoral global effort to combat Ebola. In addition, the Mobilization Group developed a business action pledge on Ebola elimination in collaboration with the Global Compact, with the aim of reaching every company with a footprint in West Africa and increasing business contributions to Ebola response. Over 60 companies, including major multinational corporations and African companies, signed the pledge and committed to a wide range of actions beyond business as usual. Based on information received from pledge signatories, approximately $17,850,000 was donated in cash or in kind and members of the Mobilization Group made significant operational contributions to the Ebola response effort.

18. While engagement in the humanitarian sector continues to be driven by corporate social responsibility, self-enlightened business interests are increasingly playing a role. There is a slowly developing understanding that investments in resilience can pay off in the medium and long term. Economic losses from disasters are a growing threat to business continuity and sustainability, creating a convergence of public and private interest in resilience and risk reduction. In March 2015, States Members of the United Nations adopted the Sendai Framework for Disaster Risk Reduction (General Assembly resolution 69/283, annex II), a 15-year plan calling for greater public-private collaboration to reduce existing levels of disaster risk and to avoid the creation of new risk. The Sendai Framework acknowledges the Global Compact as the main United Nations initiative for engagement with the private sector and as a vehicle for further promoting the critical importance of disaster risk reduction for sustainable development and resilience.

Box 2
UNISDR and private sector partnerships for disaster risk reduction

The Private Sector Partnership of the Inter-Agency Secretariat of the International Strategy for Disaster Reduction (UNISDR) is a voluntary group of over 100 businesses from more than 40 countries that work with UNISDR to drive solutions for resilient and disaster risk-sensitive private sector activities. Members of the Partnership contribute to the UNISDR mission of enhancing resilience and furthering the work of disaster risk reduction by sharing their knowledge of risk anticipation, risk management expertise and business initiatives in disaster mitigation. The Partnership fosters exchanges between partners representing a range of key commercial sectors, including financial services, telecommunications, construction and materials, and support services. Members of the Partnership were instrumental in contributing to dialogue that reinforced public-private collaboration as a central concept of the Sendai Framework.

In 2014, the Private Sector Partnership initiated the Disaster Risk-Sensitive Investments initiative ("R!SE"), a global initiative to mobilize businesses, the public sector, academia, civil society, the insurance industry and investors to contribute to the resilience of local communities and the global economy as a whole. The initiative, developed by both private and public institutions and managed by UNISDR, facilitates exchange of experience and knowledge on how to implement tangible disaster risk reduction projects through eight streams of activities: strategies for global business, risk metrics for economic forecasting, industry sector certification, education, principles for responsible investing, resilience of cities, insurance and resilience of United Nations programming.

19. While the United Nations has made considerable progress in leveraging contributions from the private sector in support of humanitarian response and disaster risk reduction, there are still some challenges preventing new or more effective means of collaboration. While many organizations within the United Nations system have begun partnering with the private sector, in many cases companies still struggle to find entry points and information to guide them in identifying partnership opportunities. Competition between United Nations

agencies, funds and programmes for valuable partners amplifies this issue, although a working group of the United Nations private sector focal points network created in 2014 and led by the Office for the Coordination of Humanitarian Affairs is helping to address this challenge by fostering stronger inter-agency collaboration on emergency preparedness and response. Part of the working group's objective is to better enable the United Nations system as a whole to benefit from innovative private sector contributions to emergencies. By conveying stronger common messages to external partners through system-wide coordination, the United Nations can more clearly identify entry points for private sector collaboration and take engagement to scale. System-wide collaboration is particularly critical when working with business associations and large groups of companies to increase the predictability of private sector humanitarian engagement.

Box 3

Inter-agency collaboration and the humanitarian connectivity charter

In March 2015, the mobile industry, led by an association representing nearly 800 mobile network operators and 250 equipment and software companies, launched the humanitarian connectivity charter. The charter is supported by the Office for the Coordination of Humanitarian Affairs, the United Nations emergency telecommunications cluster led by WFP and the International Federation of Red Cross and Red Crescent Societies. Under the charter's operational framework, mobile operators pledge to establish disaster-preparedness plans and make mobile services more accessible in crises by providing free or subsidized access to text messaging , data and voice services to affected people and humanitarian and government actors. The charter underscores the role that re-establishment of this critical infrastructure can have in facilitating needs assessments, humanitarian delivery and monitoring. More importantly, it provides the communication channels needed for a demand-driven response based upon the needs of affected populations.

20. There is a trend towards a more holistic and coherent approach to humanitarian action and disaster risk reduction, as well as a growing recognition of the value of harnessing private sector expertise and knowledge. It is recognized that partnerships for both sustainable development and for emergency preparedness and response are certainly not a panacea, but when properly designed, implemented and monitored, they are an indispensable part of the humanitarian system and will remain so in the future.

2. Innovation and partnerships

21. Innovation has become increasingly relevant in many partnerships between the United Nations and business. This trend is due to growing recognition of the innovative strength of companies and the desire to apply rapid technological advances and/or new approaches to United Nations activities. Innovation partnerships leverage unique business capacities to provide the United Nations with expertise relating specifically to core business competencies, for example, development of new products like flat-pack refugee housing or project management services for improving work processes. One of the most significant developments within the United Nations is the growth of dedicated innovation units or funds, for

example, within the United Nations Children's Fund (UNICEF), the Office of the United Nations High Commissioner for Refugees (UNHCR), WFP and the United Nations Population Fund (UNFPA). These organizations have embraced the concept of innovation as a management priority and, as such, they aim to create an enabling environment in which staff members are encouraged by organizational leadership to innovate and are rewarded for doing so. Drawing upon a number of years' experience prioritizing innovation, these entities are now working to take new partnerships, operational models and concepts to scale.

22. Innovation work of UNICEF, for instance, has a number of different elements built on a set of overarching innovation principles which are meant as best-practice guidelines. A number of United Nations funds and programmes have officially endorsed these principles and use them as guidelines for their own innovation work. At UNICEF, an innovation unit in New York focuses on enabling internal processes and developing new products and resources, particularly in areas of real-time data, youth engagement and access to information. An innovation centre in Nairobi supports the roll-out and scaling of field-tested innovations and South-South collaboration, while a node in San Francisco builds partnerships with the technology sector. An innovation group in Copenhagen works closely with private sector and other partners on product innovation. A network of 10 labs around the world brings together the private sector, academia and the public sector to develop solutions for key social issues; this will ensure that innovations occurring on the ground are shared and replicated elsewhere.

23. UNFPA has embraced innovation and creativity as a priority, with the aim of generating opportunities for experimentation; initiating innovative activities to explore opportunities for scalable and sustainable improvement in delivering and operating; and encouraging unusual or unique partnerships, in particular with various companies. Since launching its Innovation Fund in 2014, UNFPA has hosted regular calls for proposals, crowdsourcing and testing innovation projects at the country, regional, and headquarters levels in key areas of its mandate. For instance, projects include real-time data availability for humanitarian situations, supply and commodities innovations and leveraging mobile technology to empower young people. During the Ebola outbreak, UNFPA collaborated with a major United States university and the Government of Guinea to establish an innovative real-time community-based information system to track cases and contacts. Developed in cooperation with several corporate partners, the system used a smartphone mobile application employed by community-based contact tracers, who collected key surveillance information to reduce human-to-human transmission of Ebola and map the extent of the epidemic in real time.

24. UNHCR has also launched an innovation initiative, which is an interdepartmental effort to support creative problem-solving by experimenting with new kinds of partnerships when responding to challenges in field operations. The initiative has made significant progress since its inception and remains a long-term management priority. It has launched projects in UNHCR field operations as well as at headquarters, including UNHCR innovation labs, the innovation fellowship programme, UNHCRIdeas.org, the innovation fund and innovation outreach.

Box 4

Global Pulse and Data for Climate Action — a global open innovation initiative for climate resilience

United Nations Global Pulse is the Secretary-General's innovation hub on the use of real-time data and analytics for sustainable development and humanitarian action. In the past two years alone, Global Pulse conducted more than 40 big-data innovation projects in collaboration with 25 government and United Nations agencies as well as academic and business partners.

As a tool in the fight against climate change, "big data" can be used to measure and strengthen resilience, understand risks and reveal economic opportunities such as efficient energy consumption models or early warning systems. To leverage these opportunities, the Secretary-General's Climate Change Support Team and Global Pulse are hosting an open innovation challenge. Private sector companies worldwide are encouraged to share large, anonymized data related to company operations, supply chains or consumer behaviour. Big data such as anonymized mobile network data, financial data, social media data, retail data or energy usage data will be analysed by research teams and innovators to develop innovative climate solutions. Winners of the challenge will be announced later this year and will receive funding to pilot and scale their innovations.

25. Innovation partnerships can bring new technologies, expertise and approaches to the work of the United Nations, but also generate certain risks and challenges that need to be managed and addressed. Lack of expertise and reluctance to publicly fail — particularly when private sector partners are involved — hinder the ability of some United Nations organizations to attempt innovative approaches or keep up with new technologies. Some staff also claim that legal and integrity concerns prevent their organizations from entering into more innovative kinds of engagements with companies, even smaller partnerships meant to pilot a new idea. In addition, innovative solutions developed are not always scaled up owing to insufficient funding and limited expertise and capabilities. More work is needed to ensure that flexibility exists within each agency to try new approaches, balanced by efforts to maintain the integrity of the organization and the United Nations as a whole.

B. Progress at the level of agencies, funds and programmes

26. United Nations agencies, funds and programmes continue to consider private sector partnerships as an important means to help them fulfil their respective mandates. Partnership numbers in most United Nations entities have continued to rise in the past two years, and all respondents to a system-wide survey shared the view that business engagement was likely to grow in their respective organizations in the future. Fundraising efforts directed towards high-net-worth individuals and private foundations have increased. There is a gradual shift in emphasis from ad hoc, short-term partnerships, focused primarily on resource mobilization, towards more strategic collaboration.

27. Agencies, funds and programmes demonstrate more confidence with regard to managing, rather than avoiding, the risks attached to private sector partnerships and genuinely push for ever more impactful partnerships. In this respect, two trends slowly unfolding over the past few years are now starting to fulfil their potential: diversification of partnership portfolios, and a growing focus on designing and implementing integrated partnership models.

1. Diversification of partners

28. United Nations entities long ago realized that having a diversified partnership portfolio can lead to a much broader and more sustainable base of support. This includes, for example, having multiple large, long-term, strategic partnerships focusing on different kinds of support, including financial, implementation or advocacy support, as well as some smaller, locally-focused partnerships with small and medium-sized enterprises. This not only provides organizations with more varied access to different resources, but also helps mitigate risks of being dependent upon the resources of one partner. Some are taking the next step in diversification by seeking out partners in a wider range of geographical regions, particularly emerging economies, as well as engaging with smaller and less established companies in new sectors such as social media or design. Others are proactively diversifying their partner base to include smaller, less established companies outside of the usual telecommunications, food and beverage, clothing and information technology sectors and more companies from emerging and developing markets.

29. Many of these newer business partners have less well-developed sustainability and corporate responsibility strategies. This presents opportunities to design partnerships which, among other objectives, align corporate partner operations with United Nations values and goals. Many other newer business partners, particularly companies in the social media or design sectors, have built business models around innovative products and services driven by socially and environmentally conscious operating principles. By collaborating with such companies, the United Nations can gain access to innovative products and services while also learning how to leverage new technologies and operational approaches.

30. Newer business partners can have differing expectations with regard to partnership goals and their roles, which can require a modified partnership approach. For example, smaller and less-established companies tend to have fewer resources than their recognized multinational counterparts and may expect some rapid business benefits from partnership. With this in mind, United Nations agencies will need to strategically evaluate the potential short- and long-term benefits and costs of such engagements and make decisions on how and whether to partner with such companies.

2. Towards an integrated partnership approach

31. To enhance partnership impact, United Nations entities such as UNICEF, UNHCR, WFP, the United Nations Industrial Development Organization UNIDO and others are increasingly developing integrated partnership models. An integrated approach can, in one form, mean partnering with several or numerous companies towards the achievement of specific goals. A good example of this kind of approach is the UNIDO Green Industry Platform, a multi-stakeholder partnership with the goal of mainstreaming social and environmental considerations into the operations

of businesses in all countries through the more efficient use of energy and raw materials, innovative practices and applications of new green technologies.

32. Another noted trend is towards partnerships where United Nations entities work extensively with one company on several different issues simultaneously. Examples include working with individual companies on fundraising, joint programme implementation, advocacy and corporate behaviour to better align corporate performance with human rights or environmental principles. Within UNICEF, for example, a continued push to adopt a broader approach to private sector partnership has led to a new Integrated Corporate Engagement Strategy.

Box 5
The UNICEF integrated corporate engagement strategy

UNICEF recently rolled out an "integrated corporate engagement strategy" and established a cross- divisional implementation team. Under a new integrated framework, UNICEF staff working with business entities are now considering a broader range of prospective engagements, beyond traditional fundraising relationships, in order to maximize the positive contributions that business can make in advancing children's rights. For example, advocacy on the Children's Rights and Business Principles, a values framework developed by UNICEF and the Global Compact, is encouraging business partners to adopt good business practices and awareness-building within their industries.

An innovative cooperation model between UNICEF and a global toy manufacturer formed earlier this year is a good example of how this new framework is applied. In two new interrelated partnerships, UNICEF and the global toy manufacturer, together with the company's foundation, promote quality early learning through play for children around the world. In the first partnership, the company's foundation provides $8.2 million to conduct a global review of policies on early childhood development and increasing the understanding of the critical link between play and early learning skills. The second partnership includes a strong advocacy component. The company has pledged to promote the Children's Rights and Business Principles by strengthening the governance of child protection in its own business and by sharing best practices with others in the corporate world.

33. Integrated partnership models can be powerful instruments for increasing impact as they leverage private sector engagement to achieve specific goals in a more holistic manner while facilitating much deeper engagement. While such models have the potential to greatly enhance partnership impact, integrated partnerships are also more complex and require more management skill and resources than conventional one-to-one partnerships. The lack of staff, time, money and expertise dedicated to private sector engagement in many United Nations agencies, funds and programmes therefore impedes this new model from application across the whole United Nations system.

III. Integrity measures for private sector partnerships

34. Along with heightened expectations of what the private sector can deliver to achieve the sustainable development goals, there is also growing demand for United Nations agencies, funds and programmes to redouble efforts to strengthen transparency and integrity in private sector engagement. In the past two years, the United Nations system has made significant improvements in its due diligence and integrity measures while also identifying opportunities for continuous improvement in building transparency.

A. Building transparency

35. Comprehensive reporting of partnership activity involving the private sector remains a challenge for many United Nations entities. To further transparency in response to the request in General Assembly resolution 68/234 for the United Nations to disclose partners, contributions and matching funds for all relevant partnerships, including at country level, the United Nations private sector focal points network in 2014 reviewed existing disclosure practices of all United Nations entities, including specialized agencies, funds and programmes. The review confirmed that most United Nations entities have dedicated portions of their websites to partnerships, and some include separate sections for different partner types, such as the business sector. The level of partnership information disclosed online varies; some websites disclose partner names, budgets and qualitative details of partnership activities, while others tend to reference cooperation with the private sector more vaguely with no in-depth disclosure. Among entities that publish information on partnership activity, it remains difficult to assess whether the information shared is comprehensive. With regard to partnerships at country level and in the field, it appears that no United Nations entity has been able to achieve a practice of exhaustive, universal disclosure. Significant further efforts are required to attain full, system-wide partnership transparency. The improved Guidelines on Cooperation between the United Nations and the Business Sector stress the importance of such efforts by including a new provision requiring United Nations entities to publish relevant partnership information on their respective websites as well as on the United Nations/business website, business.un.org. As requested by Member States, this information should include disclosure of partners, contributions and matching funds for all relevant partnerships, including at the country level.

36. Reporting on partnership activity should be complemented by robust reporting of results. Existing models for reporting on progress of private sector commitments to multi-stakeholder partnerships, such as the Accountability Framework of the Secretary-General's Sustainable Energy for All initiative and the communication on progress model applicable to Global Compact participants, have demonstrated proof of concept and are being replicated by other platforms. For example, the Every Woman, Every Child initiative recently introduced a more robust accountability framework requiring mandatory annual reporting by private sector participants on the status of their commitments.

B. Strengthening due diligence and managing partnership risks

37. Partnering with companies can lead to positive outcomes for United Nations organizations, but all partnerships include some risks and it is essential for the reputation and integrity of the United Nations to be protected at all stages of a partnership. Most United Nations agencies, funds and programmes have become more adept at managing the risks of partnering with the private sector. Many organizations are continuing to evolve from a risk-averse stance to a more risk-managed approach to working with companies. Three key trends are illustrating this evolution.

38. First, many agencies, funds and programmes have continued to improve due diligence and partner selection processes. Increased inter-agency collaboration aimed at strengthening due diligence coherence and capacity across the United Nations system has led many organizations to develop new or improved due diligence policies and procedures. Through the United Nations private sector focal points network, agencies are increasingly sharing due diligence policy templates and good practice examples with one another to inspire improvements and strengthen coherence. Fourteen United Nations entities now take advantage of a shared due diligence research service arrangement facilitated by the Foundation for the Global Compact. In 2015, the Global Compact expanded the arrangement to enable access to an additional research provider, enhancing the breadth and scope of information available to participating organizations when screening potential corporate partners. However, new companies or companies based in emerging or developing markets are often not adequately covered by such due diligence research providers. In these cases, most United Nations organizations usually carry out screening research themselves — a time-consuming and cumbersome process. Because there tends to be little sharing of due diligence research results between agencies, funds and programmes, different organizations are repeatedly screening the same potential partners, wasting valuable resources that are needed elsewhere. To address this challenge, the Global Compact is rolling out a pilot project to enhance its role in providing due diligence research support to members of the private sector focal points network as a means of reducing duplication and strengthening coherence.

39. In addition to first-level screening of partnership risks through enhanced due diligence procedures, more advanced tools are also being developed to overcome other risks in the partnership selection process. For example, a risk-managed approach is not only about screening potential partners, but also about assessing the perceived value of a partnership compared to the cost. WFP has recently developed a partnership valuation tool that it intends to share widely, which helps determine whether the advantages for partnership beneficiaries justify the direct and indirect costs of implementation.

Box 6
The WFP partnership valuation tool

While WFP sees great value in its partnerships, its management tools did not allow the organization to estimate the value of non-financial contributions from the private sector. In collaboration with a graduate business school, WFP created an online partnership valuation tool that will be launched later this year. The tool helps staff identify the partnership opportunities that will have the highest return on investment for WFP. It determines whether the advantages for the organization and its beneficiaries justify the direct and indirect costs of implementation, such as internal WFP involvement, staff costs and time. It also measures potential impact. Staff members submitting partnerships for valuation will receive an e-mail within several days of submission with a summary of results, a score with an overall assessment of the partnership and concrete suggestions for next steps.

40. Second, in addition to making more informed decisions about potential partners through improved screening processes and enhanced information, a number of United Nations organizations have also consciously begun partnering with companies from higher-risk sectors such as extractive industries, chemical- or alcohol-producing companies or companies with historically "risky" track records. This trend is based on a growing realization that zero-tolerance policies and non-engagement can block opportunities to positively influence and change the behaviour of companies. By developing integrated partnership approaches, agencies can design partnerships that combine resource mobilization and/or implementation support with elements of advocacy for ensuring that "riskier" corporate partners align their business practices with United Nations values.

41. Third, as companies seek opportunities to capitalize on sustainability efforts and to create shared value through partnerships, they also want to have more input into how partnerships are designed and implemented. For United Nations organizations, the increasing motivation of companies to share expertise on partnership creation, design and decision-making is a positive trend. However, as an intergovernmental organization, the United Nations must mitigate the risk of excessive corporate influence by admitting input from private sector partners into the strategic goals of partnerships only and not, for example, the broader decision-making of the organization. To best balance risks and opportunities, some United Nations entities have established private sector advisory boards. These invitation-only groups comprised of leading businesses from different sectors across the globe provide strategic input and recommendations regarding partnership activities. Examples include the recently launched Private Sector Leadership Advisory Council of the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), which advises UN-Women on accelerating women's economic empowerment, ending violence against women and helping to close the funding gap for UN-Women, as well as the UNISDR Private Sector Advisory Group, which works to advance disaster risk reduction.

Box 7
The Business Advisory Board of the Economic Commission for Europe's International Centre of Excellence on Public-Private Partnerships

With its strong convening power, the United Nations offers an impartial framework under which the private sector and Governments can collaborate to close infrastructure gaps, green the economy, strengthen social services and address climate change through innovative new models of private-public partnership. The International Centre of Excellence on Public-Private Partnerships, established by the Economic Commission for Europe, aims to help Governments in achieving excellence in the development and implementation of public-private partnerships. The Business Advisory Board of the Centre, established in October 2013 and made up of experts in public-private partnerships from the private sector, also supports Governments by providing strategic advice on specific projects and convening high-level national consultations between private sector experts and national authorities.

42. While these trends demonstrate a more confident risk-managed approach among some United Nations entities, many agencies, funds and programmes continue to struggle to achieve the necessary internal buy-in, design a strategic framework for a risk-managed partnership strategy or apply the necessary capacity-building efforts for implementation. Moreover, some entities that wish to pursue more integrated, risk-managed partnership strategies face institutional obstacles. Collaboration and dialogue are critical to addressing these obstacles and protecting the integrity of the Organization while ensuring that the United Nations can be a suitable partner for the private sector.

C. Improvement and implementation of the Guidelines on Cooperation between the United Nations and the Business Sector

43. Responding to the request of the General Assembly in resolution 68/234 that the Guidelines on Cooperation between the United Nations and the Business Sector be improved, the Global Compact led a one-year inter-agency consultation with the private sector focal points network to develop revisions. The improvements are crafted to ensure full alignment with the Guiding Principles on Business and Human Rights (A/HRC/17/31, annex). They incorporate a stronger gender perspective and refer to the Children's Rights and Business Principles. They also add clear language on transparency and stakeholder accountability. Specifically, the improved Guidelines note that information on the nature and scope of major cooperative arrangements between the United Nations and the business sector should be available both internally and to the public at large. United Nations entities are encouraged to publish relevant partnership information on their respective websites as well as on the United Nations/business website, business.un.org.

44. The Guidelines are complemented by provisions to ensure individuals and communities affected by activities undertaken under a partnership have access to appropriate grievance resolution procedures. Whenever appropriate, the improved Guidelines note that partnerships should identify and establish adequate mechanisms to respond to public concerns and that the activities undertaken under

the partnership are consistent with applicable social and environmental policies and mechanisms. Along these lines, the United Nations Development Programme recently introduced a stakeholder response mechanism that provides a helpful model for other agencies, funds and programmes to follow.

IV. Strengthening the Global Compact Local Networks

45. Global Compact Local Networks are business-led networks of companies and other stakeholders committed to advancing the Global Compact's universal principles within their countries and encouraging business action in support of United Nations goals. Composed of local and multinational companies and a wide range of non-business stakeholders in 88 countries around the world, these networks help to advance corporate sustainability at the local level through learning exchanges, partnerships and dialogues that tackle issues specific to local context, language and culture.

46. The Local Networks provide an avenue for diffusing United Nations values and principles and facilitate partnerships with businesses on a broad scale. The Global Compact and the Local Networks have made considerable progress since 2013 in strengthening network management and governance, increasing local ownership and advancement of Global Compact issue platforms, and deepening ties with the United Nations system at country level to advance partnerships, sustainability and responsible business practices.

Strengthened management and governance

47. After extensive consultations, in 2015 the Global Compact updated its relationship with the Local Networks by introducing new requirements and expectations regarding network management and governance. The new arrangements include stronger accountability and transparency measures, annual financial disclosure requirements and activity reporting. The arrangements aim to improve alignment with Global Compact integrity measures, particularly with respect to logo usage, and to facilitate dialogue with participating companies. The Global Compact is also expanding support to the Local Networks on a wide range of operational elements, such as participant recruitment and training.

Increased issue engagement

48. Through learning, policy dialogue and collective action, the Local Networks have a unique opportunity to adapt key corporate sustainability issues to country-specific contexts and mobilize businesses of all sizes to take action in support of United Nations priorities and goals. Through a new issue engagement framework, Local Networks are increasingly shaping development of Global Compact issue platforms and scaling up their application in local settings.

Box 8
Local Networks and the Global Compact Business for Peace platform

Launched by the Secretary-General in 2013, Business for Peace is a leadership platform which aims to expand and deepen private sector action in support of peace in the workplace, marketplace and local communities. The platform was uniquely designed and developed in close collaboration with the Global Compact Local Networks, which are encouraged to join as signatories. Participating Local Networks root the platform in local contexts and catalyse action to advance peace by helping companies operating in conflict-affected and high-risk areas to implement responsible business practices aligned with the Global Compact ten principles. Eighteen Local Networks and over 140 companies have joined the platform since its launch in 2013.

Deepening ties with the United Nations system and advancing partnerships at country level

49. The Global Compact Local Networks can play an important role in implementation of the sustainable development goals by facilitating corporate engagement, multi-stakeholder dialogue, partnerships and collective action at the country level. In the past two years, the Global Compact has conducted numerous training sessions and run a partnership-brokering pilot project designed to build the capacity of Local Network to connect businesses with the United Nations system and other stakeholders to advance country-level collaboration for sustainable development. Through a strategic planning process incorporating a "bottom-up" approach, Local Networks are convening and participating in public-private policy dialogues to help define and shape local and national development plans, promote multi-stakeholder partnerships and other collective action to implement the sustainable development goals and contribute to developing local accountability frameworks among public and private actors to track progress in achieving common goals. The strategic planning process has already been rolled out successfully in a number of Local Networks. Its flexible methodology can be applied in a diverse range of contexts to support implementation of the sustainable development goals, and also has potential to advance private sector collaboration for disaster risk reduction, emergency preparedness and response and other humanitarian activities.

V. Conclusion

50. **The post-2015 development agenda and related intergovernmental processes and agreements present an historic opportunity for the United Nations to expand the scope and impact of private sector engagement, cultivating new pathways to achieving common societal goals through diverse, strategic and impactful partnerships. To successfully leverage these new opportunities, a number of measures should be taken to strengthen partnership accountability and transparency, embrace holistic and integrated approaches and advance system-wide collaboration to strengthen coherence and build capacity.**

51. Continuing efforts are needed to maintain and enhance transparency and accountability in all private sector engagement by the United Nations. United Nations entities are encouraged to design their private sector partnerships taking into account universal United Nations principles as articulated and promoted to business by the Global Compact. They are also encouraged to implement the improved Guidelines on Cooperation between the United Nations and the Business Sector.

52. The United Nations should pursue stronger disclosure of partnership activity to better monitor results. Such efforts should complement or reinforce similar initiatives to mobilize the private sector to report more systematically on non-financial issues.

53. United Nations entities should adopt a holistic approach to private sector engagement, employing risk-managed partnership strategies where appropriate and pursuing integrated partnership models that positively affect business partners' core corporate performance while pursuing other specific partnership objectives. United Nations entities should build robust engagement mechanisms and strategies that foster institutional continuity while leveraging their unique mandates, operational advantages and capacities, including at country level.

54. United Nations entities engaging the private sector should be encouraged to scale up their investment in system-wide collaboration by making effective use of existing platforms such as the United Nations private sector focal points network to build capacity, strengthen coherence and disseminate partnership best practices.

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Promotion and protection of human rights: human rights questions, including alternative approaches for improving the effective enjoyment of human rights and fundamental freedoms

Report of the Special Rapporteur on the rights of persons with disabilities

Note by the Secretary-General

The Secretary-General has the honour to transmit to the General Assembly the report of the Special Rapporteur on the rights of persons with disabilities, Catalina Devandas-Aguilar, in accordance with Human Rights Council resolution 26/20.

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Summary

The newly appointed Special Rapporteur submits the present report to the General Assembly in accordance with Human Rights Council resolution 26/20. The report focuses on the right of persons with disabilities to social protection.

The Special Rapporteur seeks to provide guidance to States and other actors on the requirements to establish disability-inclusive social protection systems that promote active citizenship, social inclusion and community participation of persons with disabilities, in conformity with the Convention on the Rights of Persons with Disabilities, while acknowledging the existing difficulties in implementation.

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I. Introduction

1. In its resolution 26/20, the Human Rights Council requested the Special Rapporteur on the rights of persons with disabilities to report annually to the General Assembly.

2. In the present report, the Special Rapporteur, Catalina Devandas-Aguilar, provides a study focusing on disability-inclusive social protection as a prerequisite for the universalization of social protection. She stresses that social protection is fundamental for achieving the social inclusion and active participation of persons with disabilities, and promoting their active citizenship. She also argues that to achieve disability-inclusive social protection, States must move away from traditional disability-welfare approaches towards embracing the innovative rights-based model put forward by the Convention on the Rights of Persons with Disabilities.

3. In preparing the report, the Special Rapporteur has reviewed relevant literature and jurisprudence on the topic, held consultations with organizations of persons with disabilities, academia, government officials, civil society and United Nations entities, and analysed the responses to a questionnaire sent to Member States, national human rights institutions and civil society organizations. As of 22 July 2015, she has received 123 responses.[1] Given the limited availability of data and research on the right of persons with disabilities to social protection, these responses provide a valuable overview of social protection initiatives and challenges worldwide, whose main trends are reflected in the present report.

II. Social protection and persons with disabilities

A. Importance of social protection

4. Social protection constitutes an essential condition for social and economic development for all. In fact, effective national social protection systems can contribute to building inclusive societies and social cohesion by protecting individuals from social risk and deprivation. They are not only a powerful instrument for providing income security and reducing poverty and inequality, but play an important role in enhancing human potential, enabling individuals to access food, health care, education, employment and financial means.

5. While there is no internationally agreed definition of social protection, the term is most commonly used to refer to a variety of public and private interventions aimed at securing the well-being of a person in the event of social risk and need, such as (a) lack of work-related income, (b) unaffordable access to health care and (c) insufficient family and child support.[2] In the present report, social protection is understood broadly to cover a variety of interventions designed to guarantee basic income security and access to essential social services, with the ultimate goal of achieving social inclusion and social citizenship.[3]

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[1] See www.ohchr.org/EN/Issues/Disability/SRDisabilities/Pages/SocialProtection.aspx.

[2] See Committee on Economic, Social and Cultural Rights, general comment No. 19 (2008), para. 2.

[3] See report of the Special Rapporteur on extreme poverty and human rights (A/69/297), para. 21.

6. Most social protection systems comprise contributory and non-contributory programmes, which can include universal benefit schemes, social insurance, social assistance and public employment programmes. Benefits can include child and family benefits, sickness and health-care benefits, disability benefits, old age and survivor benefits, employment injury benefits, unemployment benefits and employment guarantees, maternity benefits, income support and other benefits in cash and in kind. Social protection can be provided in many ways, with States establishing programmes according to their particular context and historical background.

7. Social protection programmes have the potential to directly affect the lives of persons with disabilities. Indeed, they can play a crucial role in reducing the consequences of sudden life-changing experiences (e.g., the loss of employment or a change in the family structure) and in crisis response, by contributing to alleviate the economic and social effects of economic downturns.[4] They can also play a crucial role in alleviating and preventing poverty and vulnerability, promoting effective access to health care and other services, and foster social inclusion and participation.

8. Moreover, social protection programmes can enhance the productivity, employability and economic development of persons with disabilities and therefore contribute to their income security.[5] Well-designed programmes can help to remove social and economic barriers that impede access to employment, and to secure access to capital and skill development programmes, thus creating better income-earning opportunities for persons with disabilities.

9. Social protection can also constitute a powerful strategy for developing human capacity and promoting full and effective participation. By facilitating access to food, health care and education, as well as support services, social protection can enhance the independence, inclusion and active participation of persons with disabilities, as it liberates them from a day-to-day struggle for survival.

B. Social protection floors

10. The implementation of nationally defined social protection floors is a welcome human rights-based strategy to promote the participation and the social inclusion of persons with disabilities. The Social Protection Floors Recommendation No. 202 (2012) of the International Labour Organization (ILO) represents an important commitment of States to the establishment of national social protection floors, providing basic social security guarantees, including at least a basic level of income security and access to essential social services for all, including persons with disabilities, across the life cycle.

11. As a foundation for any national social protection system, these floors must ensure, at a minimum, access to essential health care (including maternity care) and to a basic level of income security for (a) children — including access to food,

[4] *The Global Social Crisis: Report on the World Social Situation 2011* (United Nations publication, Sales No. E.10.IV.12).

[5] International Labour Office, *The strategy of the International Labour Organization Social Security for All: Building Social Protection Floors and Comprehensive Social Security Systems* (Geneva, 2012).

education, care and other necessary goods and services; (b) persons of active age who are unable to earn sufficient income, including persons with disabilities; and (c) older persons. The ILO recommendation concerning national floors of social protection, 2012 (No. 202) identifies as priority areas of attention the prevention and alleviation of poverty, vulnerability and social exclusion, and sets forth guidelines for implementing and monitoring national strategies that are participatory, country-led, sustainable and regularly reviewed. It also provides guidance to States on progressively providing higher levels of protection to as many people as possible and as soon as possible, reflecting States' economic and fiscal capacities. The recommendation also recognizes the principles of non-discrimination, gender equality and responsiveness to specific needs, and emphasizes that any initiative should support people with special needs and other potentially disadvantaged groups.

12. Accordingly, as reflected in the outcome document of the high-level meeting of the General Assembly on disability and development,[6] an adequate interpretation of the ILO recommendation should result in the situation of persons with disabilities being considered as a cross-cutting issue. The needs and rights of all persons with disabilities must be carefully taken into consideration, with a view to achieving universal coverage and social inclusion, reducing poverty and marginalization, avoiding discrimination and achieving equality as a matter of principle throughout the life cycle.

C. Sustainable Development Goals

13. By the time the Special Rapporteur presents this report, the General Assembly will have already adopted the Sustainable Development Goals. The draft final outcome document[7] and the Addis Ababa Action Agenda, adopted in July 2015,[8] include important references to persons with disabilities. This reflects a growing consensus among States and successful advocacy by the disability community regarding a critical message: one of the reasons why the Millennium Development Goals have fallen short of reaching the set milestones is that persons with disabilities were completely absent from that framework.

14. Social protection is a fundamental tool for achieving the proposed targets and goals, as mentioned in proposed goal 1 (End poverty in all its forms everywhere), 5 (Achieve gender equality and empower all women and girls) and 10 (Reduce inequality within and among countries). In relation to persons with disabilities, goal 1 should be addressed in the short term by mainstreaming disability in all social protection and poverty reduction programmes — a task that remains a global challenge. Social protection should further be used as an important instrument for pursuing other proposed goals in the context of disability, including those of

[6] Outcome document of the high-level meeting of the General Assembly on the realization of the Millennium Development Goals and other internationally agreed development goals for persons with disabilities: the way forward, a disability-inclusive development agenda towards 2015 and beyond (resolution 68/3), para. 4 (f).

[7] "Transforming our world: the 2030 agenda for global action", final draft of the outcome document of the United Nations summit for the adoption of the post-2015 development agenda, available from https://sustainabledevelopment.un.org/post2015/.

[8] Addis Ababa Action Agenda of the Third International Conference on Financing for Development (General Assembly resolution 69/313, annex).

ensuring healthy lives and well-being, guaranteeing inclusive, equitable quality education, promoting lifelong learning and opportunities for all, and promoting full and productive employment and decent work for all. The Addis Ababa Action Agenda highlights the importance of financing sustainable and nationally appropriate social protection systems with a focus on persons with disabilities, among others.[9]

D. Towards universalization

15. Social protection should be aimed at achieving universality and, thus, at contributing to the objective of the enjoyment by all persons of an adequate standard of living. Universal social protection involves comprehensive systems that guarantee income security and support services for all persons across the life cycle, paying particular attention to those experiencing poverty, exclusion or marginalization. At the same time, universal social protection should entail inclusiveness, i.e. take into account the particular circumstances of all persons, including those with disabilities.

16. The objective of universal social protection, already reflected in ILO recommendation No. 202, has recently been endorsed by the World Bank and ILO in a joint initiative. As co-chairs of the Social Protection Inter-agency Cooperation Board, and together with other United Nations agencies and development partners represented on the Board, both institutions can play a major role in promoting social protection responses that are inclusive of persons with disabilities, and in providing guidance to States on how to include a disability perspective into their national social protection systems.

E. Right to social protection: from traditional disability-welfare to social inclusion

17. The Universal Declaration on Human Rights recognizes the right of everyone to social security (art. 22) and affirms that everyone has the "right to a standard of living adequate for the health and well-being of himself and of his family" and the "right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control" (art. 25). Subsequently this right has been codified in several international and regional human rights instruments,[10] which also include non-discrimination clauses, thus reaffirming that the right to social security entails an obligation for States to prohibit any form of discrimination related to the enjoyment of this right.

[9] Ibid., para. 12.

[10] At the international level, the right to social security is recognized in the International Covenant on Economic, Social and Cultural Rights (art. 9), the International Convention on the Elimination of All Forms of Racial Discrimination (art. 5 (e) (iv)), the Convention on the Elimination of All Forms of Discrimination against Women (art. 11, para. 1 (e)), the Convention on the Rights of the Child (art. 26), and the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (art. 27). Regional instruments include the European Social Charter (Revised) (art. 12), the Additional Protocol to the American Convention on Human Rights in the Area of Economic, Social and Cultural Rights (art. 9), and the Inter-American Convention on Protecting the Human Rights of Older Persons (art. 17).

18. While in principle the right to social protection applies to all persons with disabilities on an equal basis with others, in practice there has been a significant underuse of the international legal framework to advance this and other human rights for persons with disabilities.

19. In this context, the adoption of the Convention on the Rights of Persons with Disabilities represents a major step towards disability-inclusive social protection. Article 28 refers for the first time in an international instrument to the right to social protection and links it to the right to an adequate standard of living, with reference to adequate food, clothing and housing, and the continuous improvement of living conditions. It also tailors the right to social protection to persons with disabilities, recognizing that they must enjoy this right without discrimination on the basis of disability, and establishes a pathway for their inclusion in all efforts related to the realization of this right.

20. More specifically, article 28 creates an obligation for States parties to take appropriate measures to ensure that persons with disabilities receive equal access to mainstream social protection programmes and services — including basic services, poverty reduction programmes, housing programmes, and retirement benefits and programmes — as well as access to specific programmes and services for disability-related needs and expenses.

21. Social protection also resonates in other provisions of the Convention, including in relation to the right to live independently and be included in the community (art. 19), respect for home and the family (art. 23), education (art. 24), health (art. 25), habilitation and rehabilitation (art. 26) and work and employment (art. 27). Importantly, social protection interventions should be measured against the Convention's principles of non-discrimination, participation and inclusion, equal opportunities, accessibility, and equality between men and women (art. 3).

22. The Convention moves beyond traditional disability-welfare considerations towards a complex equality model that highlights the interdependence and indivisibility of all human rights, stressing that persons with disabilities must enjoy these rights on an equal basis with others.

23. Traditional disability-welfare approaches have been instrumental in building and spreading the medical model of disability worldwide,[11] since they were part of a societal structure that considered disability as a medical problem, and persons with disabilities as unable to work, cope independently or participate in society. Unsurprisingly, these approaches triggered further segregation and loss of self-determination. Children with disabilities were sent to special schools and persons with disabilities received medical attention and rehabilitation in segregated settings, along the lines of "fixing" or "curing" them while disregarding their own will. When persons with disabilities were granted disability benefits, this was often based on the premise that they were not able to work.

24. Therefore, social protection for persons with disabilities needs to move towards intervention systems that promote active citizenship, social inclusion and community participation, while avoiding paternalism, dependence and segregation. The ultimate aim is to achieve the right to live independently and be included in the

[11] Theresia Degener and Gerard Quinn, "A Survey of international, comparative and regional disability law reform" in *Disability Rights Law and Policy: International and National Perspectives*, Mary Lou Breslin and Silvia Lee, eds. (Transnational Publishers, 2002).

community, in line with article 19 of the Convention, which creates an obligation for States to ensure that persons with disabilities enjoy: choice on an equal basis with others about life-shaping decisions (e.g., where and with whom they wish to live), and thus control over their own lives; access to necessary support services as a condition for free choice on an equal basis with others (including the provision of personal assistance); and access to all community services available to others, including in the context of the labour market, housing, transportation, health care and education.

III. Disability-inclusive social protection

A. Poverty and disability

25. Poverty affects persons with disabilities in a disproportionate manner. They are overrepresented among the poorest in the world,[12] experiencing higher rates of poverty and deprivation, and lower levels of income than the general population.[13] A study using comparable data and methods across 15 developing countries in Africa, Asia, and Latin America and the Caribbean found a significant association between disability and multidimensional poverty in at least 11 of the countries studied.[14] Persons with disabilities are also at a significantly higher risk of relative income poverty in most countries of the Organization for Economic Cooperation and Development (OECD), with poverty rates for persons with disabilities exceeding 30 per cent in some countries.[15] Similarly, contributions to the present report illustrate the existence of high poverty rates among persons with disabilities in both developed and developing countries.

26. The exclusion of persons with disabilities from the labour market contributes significantly to explaining these poverty levels. Working-age adults with disabilities experience low employment rates and salaries worldwide.[16] A study in 10 developing countries shows that unemployment and labour inactivity range from 32 to 100 per cent among people with disabilities, depending on the level of the impairment.[17] Those who work do so primarily in the informal sector, which increases their likelihood of receiving a wage below the minimum rate and of not being covered by social insurance. Persons with psychosocial and intellectual disabilities are less

[12] N. Groce and others, *Poverty and Disability — a Critical Review of the Literature in Low and Middle-income Countries* (L. Cheshire Disability and Inclusive Development Centre, 2011); A. Elwan, "Poverty and disability: a survey of the literature" (World Bank, 1999); Economic Commission for Latin America and the Caribbean, *Social Panorama of Latin America 2012* (United Nations publication, Sales No. E.13.II.G.6).

[13] S. Mitra, A. Posarac and B. Vick, *Disability and Poverty in Developing Countries: a Snapshot from the World Health Survey* (World Bank, 2011); Eurostat, "Disability statistics: poverty and income inequalities", available from http://ec.europa.eu/eurostat/statistics-explained/index.php/Disability_statistics_-_poverty_and_income_inequalities.

[14] S. Mitra, A. Posarac and B. Vick.

[15] OECD, "Sickness, disability and work: keeping on track in the economic downturn" (2009).

[16] World Health Organization (WHO) and World Bank, *World Report on Disability* (2011).

[17] S. Buckup, "The price of exclusion: the economic consequences of excluding people with disabilities from the world of work", Employment Working Paper No. 43 (International Labour Office, Geneva, 2009).

likely to be employed than other persons with disabilities.[18] In OECD countries, the employment rate of persons with disabilities is on average 40 per cent lower than the overall level, while the unemployment rate is twice as high.[19] According to ILO, the economic loss related to the exclusion of persons with disabilities from the labour market in low- and middle-income countries is between 3 and 7 per cent of the gross domestic product.[20]

27. Discrimination and stigma, unequal opportunities, and physical and attitudinal barriers are also causes for the social exclusion and poverty of persons with disabilities. Lack of education, in particular, has a significant impact on poverty in adulthood of persons with disabilities. As research shows, persons with disabilities with higher educational attainments have considerably higher employment and income rates.[21] Nonetheless, children and youth with disabilities are less likely to attend school or to be promoted in school, which affects their opportunities for future employment.[22] Furthermore, measures such as the arrest of homeless persons have a disproportionate impact on persons with psychosocial disabilities and may criminalize persons in need of support.

28. Poverty reduction programmes do not adequately include persons with disabilities. Research suggests that social protection programmes do not meet the needs of persons with disabilities.[23] For example, a recent study in two developing countries reveals that, despite the significant poverty gap between persons with disabilities and the general population, social protection programmes often do not specifically include persons with disabilities or respond to their specific needs.[24] This constitutes a missed opportunity, given that in the past decade most developing countries have implemented new poverty reduction programmes (including cash transfers and public employment schemes) that could have benefited persons with disabilities and supported their exit out of poverty.

B. Disability-related extra costs

29. Persons with disabilities incur a range of common daily expenditures that persons without disabilities do not. They include extra costs for the person and the family to purchase goods and services, such as health care, transportation, assistive devices, personal assistance and house adaptation. On the one hand, some of these goods and services are entirely disability-related, such as mobility aids, appropriate and adapted devices and assistive technologies (including information and communications systems) and various forms of live assistance and intermediaries

[18] B. Vick, K. Jones and S. Mitra, "Poverty and psychiatric diagnosis in the U.S.: evidence from the Medical Expenditure Panel survey", in *Journal of Mental Health Policy and Economics*, vol. 15 (2) (2012).

[19] OECD, *Sickness, Disability and Work: Breaking the Barriers — a Synthesis of Findings across OECD Countries* (2010).

[20] S. Buckup.

[21] OECD, "Sickness, disability and work: keeping on track in the economic downturn" (2009).

[22] WHO and World Bank.

[23] ILO, *World Social Protection Report 2014/15, Building Economic Recovery, Inclusive Development and Social Justice*; UNICEF, *The State of the World's Children 2013, Children with Disabilities*; D. Mont, "Social protection and disability", in *Poverty and Disability*, T. Barron and J. M. Neube, eds. (Leonard Cheshire Disability, London, 2010).

[24] See www.giz.de/expertise/html/16762.html.

(e.g., personal assistance services and service animals). However, many of these goods and services are not available through or covered by national social protection systems.[25] On the other hand, persons with disabilities may pay higher prices for accessing the same goods and services as other people (e.g., private health and life insurance, when available) and consume larger amounts of certain non-specialized goods and services, such as food, heating, personal care, laundry, and telephone and Internet services, thus incurring considerable extra costs.[26]

30. Importantly, many of these extra costs are directly related to lack of accessibility. An obvious example is transportation, where a person with a disability may be obliged to use taxis on a daily basis owing to the non-accessibility of the public transport system. Lack of accessibility also reduces the options for obtaining other goods and services. For instance, persons with disabilities often incur considerably higher expenditures for basic items such as food or clothing because they have no alternative to shopping locally or relying on others, thus preventing them from benefiting from bargains.[27] Accessible services can also be more costly than their non-accessible equivalents.

31. While the extra cost of disability varies greatly depending on the availability and financial accessibility of goods and services,[28] researchers have calculated that it can amount to almost 50 per cent of an individual's income.[29] A recent study on older persons with disabilities estimates that, on average, disability costs are approximately 65 per cent higher than the net weekly pre-disability household income.[30] In addition, the economic cost of living with a disability includes foregone benefits or opportunity costs (e.g., lost income of individuals with disabilities or of family members who cannot work, or who work less, if the household includes one or more persons with disabilities),[31] the impact of which depends on many factors, including the type of impairment, the household's socioeconomic status, the individual's work status and the policy context (e.g., the existence of disability benefits).

32. Accordingly, the extra cost of disability has significant consequences for persons with disabilities and may lead to a lower standard of living and to poverty when households cannot afford these expenditures. Contributions to the present report illustrate that many persons with disabilities cannot afford education and

[25] WHO and World Bank.

[26] D. Stapleton, A. Protik and C. Stone, *Review of International Evidence on the Cost of Disability*, Research Report No. 542 (London, Department of Work and Pensions, 2008); A. Zaidi and T. Burchardt, "Comparing incomes when needs differ: equivalization for the extra costs of disability in the U.K.", in *Review of Income and Wealth*, No. 51 (1) (2005).

[27] Extra Costs Commission, "Driving down the extra costs disabled people face: interim report" (2015).

[28] S. Mitra, A. Posarac and B. Vick, see note 13.

[29] J. Cullinan, B. Gannon and S. Lyons, *Estimating the Extra Cost of Living for People with Disabilities*, in *Health Economics*, vol. 20 (5) (2011); P. Saunders, "The cost of disability and the incidence of poverty", Discussion Paper No. 147, Social Policy Research Centre, University of New South Wales, 2006; Prashant Loyalka and others, "The costs of disability in China", in *Demography*, 51 (1) (2014).

[30] M. Morciano, R. Hancock and S. Pudney, "Disability costs and equivalence scales in the older population", ISER Working Paper Series, No. 2012-09 (University of Essex, Institute for Social and Economic Research, April 2012).

[31] M. Palmer and others, "The Economic Lives of People with Disabilities in Vietnam" (2015), available from http://journals.plos.org/plosone/article?id=10.1371/journal.pone.0133623.

health services owing to the additional costs incurred because of disability, while they also face significant barriers to accessing health care, such as non-affordable or inadequate health services, discrimination in public and private health insurance, and insufficient insurance coverage. Catastrophically high health expenditures are preponderant among persons with disabilities, across all gender and age groups.[32] Consequently, the burden of disability-related extra costs can easily nullify the enjoyment of other human rights, including living independently and with freedom of choice in any given society.

33. States should therefore provide social protection programmes that cover disability-related expenditures,[33] to prevent a significant deterioration of standard of living and to prevent poverty. While evidence suggests that social benefits contribute positively to reducing the at-risk-of-poverty rates for persons with disabilities,[34] in practice very few States have established flexible systems that cover disability-related costs. In most cases, benefits are static, provided in fixed lump sums without account being taken of the individual's particular situation and needs.

C. Life cycle approach

34. Social protection systems and programmes can only be effective if they address the specific needs of persons with disabilities throughout their life cycle: childhood, adolescence, working age and old age. This approach is aimed at removing existing barriers to accessing age-based benefits and at creating uninterrupted interventions and a smooth transition from one age group to another with regard to the receipt of benefits.

35. States should prioritize social protection policies to ensure the well-being of children and adolescents with disabilities and their families; to enable them to realize their full potential through inclusive and adequate services and support measures (especially in the education and health sectors); and to combat poverty. In effect, families with children with disabilities are disproportionately more likely to fall below the poverty line,[35] as disability in childhood is often the catalyst for poverty owing to disability-related extra costs, family break-ups and unemployment following the onset of disability.[36] Poverty, in turn, remains the main cause of malnutrition, school dropout, abandonment and institutionalization of children with disabilities.[37] States should adopt inclusive and barrier-free social protection systems as they can have a life-changing impact on children and adolescents with disabilities.

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[32] WHO and World Bank, see note 16.

[33] The Committee on Economic, Social and Cultural Rights has established that support to persons with disabilities should be provided in a dignified manner and reflect the specific disability-related needs and expenses. See general comment No. 19, para. 20.

[34] Eurostat, "Disability statistics: poverty and income inequalities", available from http://ec.europa.eu/eurostat/statistics-explained/index.php/Disability_statistics_-_poverty_and_income_inequalities.

[35] UNICEF, see note 23.

[36] Council for Disabled Children, "Disabled children and child poverty", briefing paper for the Every Disabled Child Matters campaign, 2007.

[37] UNICEF; WHO and UNICEF, *Early Childhood Development and Disability: A Discussion Paper* (WHO, 2012).

36. Social protection plays an important role for women and men with disabilities of working age, by stabilizing and protecting their income in the event of unemployment, sickness or inactivity, and by ensuring at least a basic level of income security. Effective measures to support persons with disabilities in finding and retaining quality employment are an essential element of non-discriminatory and inclusive policies that help them realize their rights and aspirations as productive members of society.[38] Social protection also contributes to meeting their health care, maternal protection and social participation needs.

37. Persons with disabilities who have not acquired entitlements to a contributory pension during their working lives face considerable difficulties in maintaining an adequate level of income security towards the end of their lives, when adequate non-contributory pensions are not available. Moreover, as they are often less likely to have a partner or to marry,[39] intra-family support as an additional source of income security is often insufficient and unreliable. Therefore, social protection programmes are necessary to guarantee income security for older persons with disabilities and to provide support services. As disability rates are considerably higher among older persons, there is a growing demand for health and social care and support services to enable them to continue living independently and with dignity.

D. Women and girls

38. Women and girls with disabilities face many difficulties in accessing adequate housing, health care, education, vocational training and employment, and are more likely to be institutionalized and experience poverty. The Convention on the Rights of Persons with Disabilities recognizes that women and girls with disabilities are subject to multiple forms of discrimination, and provides for their equal and full enjoyment of all human rights and fundamental freedoms. It also requires States to ensure that they have equal access to social protection and poverty reduction programmes.

39. Accordingly, States must ensure that social protection programmes address the imbalances of power and the multiple forms of discrimination experienced by women and girls with disabilities. States should take steps to eliminate the barriers that prevent them from accessing social protection programmes and ensure that social protection systems take into account both disability-related and gender-related factors in the design and implementation of such programmes. Non-contributory schemes, in particular, play an important role, as women with disabilities are often excluded from the formal labour market. States should also acknowledge the role of women with disabilities as caregivers, including older women with disabilities, by providing them with appropriate assistance to perform care responsibilities without reinforcing patterns of discrimination and negative stereotyping.[40]

[38] ILO, *World Social Protection Report*, p. 53.

[39] WHO and World Bank, see note 16.

[40] M. Sepúlveda and C. Nyst, *The Human Rights Approach to Social Protection* (Ministry for Foreign Affairs of Finland, 2012).

E. Multiple and aggravated forms of discrimination

40. There are persons with disabilities across all population groups, including those historically discriminated against or disadvantaged, such as persons of African descent, indigenous peoples, lesbian, gay, bisexual, transgender and intersex persons, and minorities. In the design and implementation of social protection programmes, States must acknowledge the multiple and aggravated forms of discrimination faced by persons with disabilities belonging to these groups.

41. Social protection systems must also respond to the needs of heterogeneous groups within the disability community, including those that may be easily forgotten in policymaking, such as deaf persons,[41] autistic persons, and persons with psychosocial or intellectual disabilities. Impairment-specific considerations may be relevant for the purpose of providing targeted support services, for instance for people who are blind, deaf or deaf-blind. It is worth noting, however, that traditional disability-welfare approaches under the medical model de facto promoted inequality among the diversity of persons with disabilities by adopting legislation that benefited certain groups of persons with disabilities while excluding others. The deprivation of legal capacity faced by many persons with disabilities has also led to systematic discrimination in accessing their right to social protection and control over support provided.

IV. Key elements to build disability-inclusive social protection systems

42. To ensure a comprehensive social protection system, States have an obligation to adopt national strategies and plans of action[42] that consider the equal rights of persons with disabilities. In this regard, the design, implementation and monitoring of those strategies and action plans must comply with the Convention on the Rights of Persons with Disabilities. Similarly, targets or goals have to include disability-specific benchmarks and indicators, to monitor and evaluate whether social protection systems benefit persons with disabilities or not.

A. Legal and institutional frameworks

43. States have to include the right of persons with disabilities to social protection in their domestic legal framework. Where national legal frameworks define entitlements to social protection benefits, rights-holders have a legal ground to claim their rights, and the system as a whole tends to be more stable and sustainable.[43] While the contributions to the present report illustrate a variety of approaches, existing legislation generally falls short in guaranteeing this right in its full extent to persons with disabilities on an equal basis with others. It is encouraging to note, however, that, in line with their obligations under the

[41] A contribution to the present report illustrated an interesting measure to assist deaf persons though remote sign language interpreters via video connection when a deaf person visits a health centre.

[42] Committee on Economic, Social and Cultural Rights, general comment No. 19, para. 68.

[43] M. Sepúlveda and C. Nyst.

Convention,[44] States have started an analysis to assess where they stand and identify legislative gaps. This analysis is an important step for States to take towards a comprehensive harmonization process, where national legislation, policies, customs and practices are measured against the principles, rights and obligations of the Convention.

44. States should ensure that provisions relating to the access of persons with disabilities to social protection are included in disability-specific legislation and in mainstream legislation and policy on social protection. Indeed, the review process should encompass legislative areas beyond the traditional scope of social insurance and disability-specific laws, including for instance legislation on education, health, employment, housing and social inclusion.

45. States must also review their institutional frameworks to ensure that persons with disabilities are adequately included in social protection systems. In principle, these frameworks must bring coherence and coordination, rather than fragmentation, across programmes, actors and levels of government responsible for implementing social protection policies.[45] In practice, however, disability-related social protection initiatives are too often disconnected from the broader social protection coordination system and implemented in isolation by the disability agencies within the government, rather than as part of the main social protection strategy. These disability agencies often operate without the engagement and necessary technical support of the main agencies in charge of national programmes. Of additional concern is the lack of coordinated responses between national and subnational authorities, which can jeopardize the availability and quality of benefits and services within a country.

46. This fragmentation increases the likelihood of persons with disabilities being excluded from mainstream social protection programmes, thus limiting the scope, quality and adequacy of the services and benefits they receive. To avoid this, States must ensure that all disability-related programmes are considered as an integral part of their national social protection strategies and are not delegated solely to the responsibility of the government's disability agency. States should also devote efforts to taking the needs of persons with disabilities into consideration in their mainstream social protection programmes, and enhancing their internal coordination mechanisms to address those needs in a comprehensive manner. Further, States should invest in interministerial and intersectoral capacity-building to strengthen the institutional framework.

B. System design

47. States need to assess how the design of their social protection systems affects the situation of persons with disabilities, and in particular: (a) the balance between contributory and non-contributory schemes and (b) the balance between mainstream and specific programmes.

48. Although persons with disabilities can be covered by contributory schemes (e.g., social insurance programmes), they have considerably fewer opportunities to

[44] The Convention on the Rights of Persons with Disabilities establishes general obligations relating to legislative harmonization in article 4, paragraph 1 (a) and (b).

[45] M. Sepúlveda and C. Nyst.

contribute to such schemes than persons without disabilities, mainly owing to their higher unemployment rates, economic inactivity and informal employment. Contributory schemes normally do not cover children and young adults with disabilities if they have been unable to contribute to a social insurance scheme or are not covered through their parents. Despite these limitations, contributory schemes play an important role in providing social protection to persons with disabilities and often provide higher benefits than non-contributory programmes. Making provision for government-financed contributions for certain categories of persons who are unable to contribute directly, or who have limited contributory capacity, can strengthen the universal protection of contributory programmes.

49. Contributory and non-contributory systems, as well as income generation programmes, can complement each other in various ways to reduce the coverage gap of persons with disabilities. Nevertheless, States must ensure an adequate level and quality of services in both contributory and non-contributory schemes, and their sustainability. States must also take steps, to the maximum of their available resources, to ensure that social protection systems cover all persons with disabilities on an equal basis with others. Finally, States must ensure the continuity of benefits and services when a person moves from a contributory scheme to a non-contributory one, and vice versa.

50. To achieve universalization and inclusiveness, social protection must be as mainstreamed as possible, and as specific as necessary. While mainstream programmes support the access of persons with disabilities to general benefits and services on an equal basis with others (including by providing reasonable accommodation), specific programmes provide them with access to quality mobility aids, devices, assistive technologies and other forms of live assistance, as well as to a range of in-home, residential and other community support services (including personal assistance to live independently and actively participate in the community). Together, these programmes must cover services, devices and other assistance for disability-related needs, and extra costs. Overall, the balance between mainstream strategies and targeted support should be tailored to address the needs of specific groups of persons with disabilities, while maintaining the overall goal of including persons with disabilities in all aspects of social protection systems.[46]

C. Disability benefits

51. Disability benefits play an important role in ensuring income security for persons with disabilities and, therefore, in realizing their rights and aspirations as productive members of society. While these benefits may take various forms, including in-kind transfers or subsidies,[47] the majority are in the form of cash transfers, such as disability pensions. Cash benefits are the preferred option because they entail lower administrative costs and provide individuals with a choice and control in selecting services and providers.[48] According to ILO,[49] almost all

[46] E/CN.5/2012/6, para. 12.

[47] Disability in-kind transfers or subsidies include, for instance, free public transportation, free access to public services, free or subsidized food, and free or subsidized assistive devices.

[48] D. Mont, "Social protection and Disability" in T. Barron and J. M. Ncube (eds.), *Poverty and Disability* (Leonard Cheshire Disability, London, 2010).

[49] ILO, *World Social Protection Report*.

countries have a scheme anchored in law that provides cash benefits to persons with disabilities. The majority of them are contributory and serve as income replacement in the event of full or partial disability. Although non-contributory benefits are extremely important for persons with disabilities, they are available in less than half of the world's countries. Also, in most cases, the grants provided through this scheme are insufficient to ensure an adequate standard of living or even to cover the extra costs of disability.

52. Disability benefits are fundamental for promoting the inclusion and active participation of persons with disabilities; however, if wrongly conceived, they could create disincentives for such participation. When disability benefits bundle assistance to cover disability-related extra costs or access to health care together with income support aimed at reducing poverty, persons with disabilities may lose the entire benefit package if they gain a higher income than the poverty line or minimum income threshold. This places persons with disabilities at a crossroads, where they must choose between securing a minimum but stable income, and seeking employment and further socioeconomic participation and contribution; the latter option bearing the risk of job insecurity or insufficient income to cover all expenses. Therefore, if not well designed, these benefits can in themselves become a "benefit trap" that leads to low labour force participation.[50] This problem is further compounded when the disability benefits are linked to a precondition of being "unable to work" (as opposed to having a low income or a reduced earnings potential) as part of the eligibility criteria, which not only reinforces stereotyping of persons with disabilities, but also perpetuates their dependency on the benefits by eliminating any expectation of their entering the labour market.

53. To avoid this dilemma, States should unbundle income security and disability-related assistance to find the right balance between supporting labour inclusion and providing an adequate level of income security for persons with disabilities. The two sets of policies should be seen as complementary, rather than contradictory, in promoting the full and effective participation of persons with disabilities. Measures to facilitate the inclusion in the labour market of recipients of disability benefits must include transitional or "bridging" arrangements to enable them to retain at least part of the benefits (e.g., assistance related to the extra costs of disability, and in-kind benefits, such as health care) until they reach a certain wage threshold, and to become eligible again without delay if they lose their jobs.[51]

54. It is important that States provide persons with disabilities with choice and control over their disability benefits. In fact, if the disability benefit is provided as part of a household-related benefit, there is no guarantee that it would actually contribute to the social participation and inclusion of the person with a disability. While many individuals may require support in their daily lives, they should retain control over their personal budgets and the choice of support received.

D. Targeting and eligibility

55. While the ultimate goal is to achieve a universal and systematic approach to social protection, in many middle- and low-income countries non-contributory

[50] A/HRC/22/25, para. 61.
[51] ILO, *World Social Protection Report*.

programmes are targeted towards the poor. Social protection programmes target persons with disabilities either as a separate group through disability-specific programmes; by explicitly incorporating them within the targeting criteria of mainstream programmes; or by including them within groups at risk of poverty.[52] Programmes can also either target all persons with disabilities, only certain age groups, or focus on a particular level or type of impairment.

56. The targeting of persons with disabilities entails several difficulties. First, eligibility conditions in social protection programmes rely either on definitions of persons with disabilities derived from national legislation — which often have a narrow medical focus or exclude specific groups — or include programme-specific definitions, which may be limited to work capacity or medical assessments. States should review their national definition of persons with disabilities to ensure its conformity with the Convention on the Rights of Persons with Disabilities.

57. Second, even with a rights-based definition of persons with disabilities, it remains extremely difficult to determine whether a person is part of the targeted group or not. For instance, some countries may lack the administrative capacity required for disability determination in urban, rural and remote areas. The heterogeneity of the disability community makes targeting particularly challenging, especially in the case of invisible or episodic impairments. In some cases, corruption or medical discretion can also affect the disability assessments. Therefore, disability-targeting errors are very frequent.[53]

58. Third, in the case of means-tested programmes, income thresholds are usually determined at the household level through direct means-testing or proxy means-testing. These instruments tend to overlook the extra cost of disability and, when it is considered, an individual assessment of personal and environmental factors affecting that cost is hardly ever made. Thus, persons with disabilities with higher support needs tend to be overlooked.

59. Fourth, disability-related services, devices and other assistance may also be subject to means-testing, limiting the coverage of disability-related programmes. In this respect, the Committee on the Rights of Persons with Disabilities has expressed concern about limiting access to social protection benefits and subsidies to those who meet "poverty criteria" or a "financial assets test".[54] Therefore, while poverty reduction programmes should include additional disability-related expenditures, disability-specific social protection programmes should not be limited in scope to the poverty threshold, without considering the extra costs that make people with disabilities more prone to becoming poor.

60. Fifth, the eligibility criteria of social protection programmes should not include factors that could directly or indirectly exclude persons with disabilities. For instance, in many countries child nutrition programmes operate only at childcare centres and schools. Since children with disabilities have fewer opportunities to attend school, many of them lack access to nutrition programmes. Older persons with disabilities are also usually excluded from receiving disability benefits owing

[52] M. Palmer, *Social Protection and Disability: A Call for Action*, Oxford Development Studies, 2013.

[53] S. Mitra, "Disability and social safety nets in developing countries", Social Protection Discussion Paper Series (World Bank, 2005).

[54] CRPD/C/CRI/CO/1, para. 57; CRPD/C/HRV/CO/1, para. 44.

to their age, yet pensions and other available benefits may not fully address disability-related needs. Therefore, States must take into account the situation of persons with disabilities when targeting specific age groups.

61. Lastly, targeting methods have to take account of persons with disabilities. While self-targeting (i.e. where persons with disabilities self-enrol into programmes) can be an interesting alternative to disability assessments, it may have a limited impact if the information and procedures for applying are inaccessible. Similarly, although community-based targeting to identify recipients for cash or in-kind benefits promotes the involvement of local agents or institutions, there is a risk that the decision makers exclude persons with disabilities.

62. Further work, including research and international cooperation, is required to support States in the design of simpler, more effective and more holistic targeting mechanisms, which would also inform States about the barriers faced by persons with disabilities and the support they need.

E. Relevance of benefit packages

63. States must ensure that social protection programmes meet the standards of quality, adaptability, acceptability and adequacy for all persons with disabilities. Accordingly, social protection programmes must be adapted to the needs of persons with disabilities in their local context; be acceptable in the light of the multiple discrimination that they face; and provide benefits of an adequate amount and duration to enable beneficiaries to enjoy an adequate standard of living.[55] In other words, States must ensure that benefits and services offered by social protection programmes are relevant and consistent with the right of persons with disabilities to an adequate standard of living.

64. Disability-related needs should be considered and addressed in all areas of the social protection system. In many countries, the lack of availability of services is problematic: health coverage, for instance, does not always include specialized health services or assistive devices that persons with disabilities may need. Thus, they must bear, with their households, the cost of accessing those services or devices. Similarly, public employment and housing programmes often do not guarantee appropriate conditions for persons with disabilities to actually benefit from those programmes.

65. States should ensure that benefits are sufficiently high to enable persons with disabilities to afford the goods and services required to enjoy at least a minimum essential level of economic, social and cultural rights.[56] The Committee on the Rights of Persons with Disabilities has stressed the importance of taking into account disability-related costs to ensure a sufficient allocation of benefits, in particular for children with disabilities and their families.[57] The Committee has also recommended calculating benefits on the basis of the personal characteristics and circumstances and the needs of persons with disabilities.[58]

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[55] Committee on Economic, Social and Cultural Rights, general comment No. 19, para. 22.

[56] Committee on Economic, Social and Cultural Rights, general comment No. 3, para. 10.

[57] CRPD/C/CZE/CO/1, para. 53; CRPD/C/PRY/CO/1, para. 67; CRPD/C/NZL/CO/1, para. 60; CRPD/C/MNG/CO/1, para. 43.

[58] CRPD/C/HRV/CO/1, para. 44; CRPD/C/KOR/CO/1, para. 54; CRPD/C/CHN/CO/1, para. 80.

66. Like other programmes, conditional cash transfer programmes[59] must take into account disability-related needs. However, there is growing evidence that the conditionalities attached to these programmes tend to exclude persons with disabilities owing to structural barriers. This includes, for instance, the lack of inclusive education that precludes children with disabilities from attending school or the lack of accessible information that impedes deaf persons from participating in training or meetings with the social services. In response, some conditional cash transfer programmes have opted to exempt persons with disabilities from the conditionalities that they cannot fulfil because of existing external barriers. While such exemptions allow persons with disabilities to fight short-term poverty, they contradict the overall goal of investing in human capabilities to promote social inclusion and active participation, and represent a missed opportunity to address longer-term poverty.

67. To be inclusive, States should support persons with disabilities in meeting the conditionalities established by conditional cash transfer programmes. While allowing them to benefit from the programmes despite not meeting the conditionality criteria is a positive, if insufficient, measure, an intersectoral intervention is needed to guarantee access to the required services by persons with disabilities and their families. This support must also be available to parents with disabilities when they are not the direct beneficiaries, but are responsible for ensuring that the targeted members of the household meet the set conditions.

68. States must ensure that the implementation of programmes does not undermine the rights of persons with disabilities. In some cases, to access benefits, adults with disabilities are compelled to renounce their legal capacity or receive treatment and rehabilitation on a regular basis, including psychiatric treatment. In other cases, services are offered in segregated settings — such as special schools or sheltered employment — or otherwise in a way that is not compliant with human rights standards. Such practices are contrary to the intrinsic dignity of persons with disabilities and contradict the principles of non-discrimination, participation and inclusion.

F. Non-discrimination

69. States have an obligation to ensure access to social protection for all persons with disabilities on an equal basis. States must therefore recognize the right to social protection without discrimination on the ground of disability — whether in law or in fact, and whether direct or indirect discrimination — and eliminate discrimination in law, policy and practice.

70. The principle of non-discrimination must be respected at all stages of a social protection programme cycle, including at the design, implementation and monitoring stages. States must ensure that social protection programmes are designed, implemented and monitored in a way that takes into account the experiences of all men and women with disabilities, from the selection of beneficiaries to the delivery of services and benefits. To that end, social protection

[59] Conditional cash transfers are considered by some experts as non-compliant with the human rights-based approach. See M. Sepulveda and C. Nyst.

systems must address the structural barriers that persons with disabilities face to participate in society, including lack of accessibility.

71. To promote equality and eliminate discrimination, States must take all appropriate steps to ensure that reasonable accommodation is provided to persons with disabilities,[60] in all instances and whenever needed, in the provision of social protection programmes. In many countries, however, when it is recognized, the requirement of providing reasonable accommodation is limited to employment and therefore does not apply to social protection programmes. States must acknowledge in their legal and policy framework that the denial of reasonable accommodation constitutes discrimination and that they have an immediate duty to fulfil this right, which is not subject to progressive realization.[61]

G. Accessibility

72. Accessibility is a precondition for persons with disabilities to benefit from social protection on an equal basis with others. Without access to the physical environment, to transportation, and to information and communication, persons with disabilities are prevented from enjoying their right to social protection.

73. Lack of physical accessibility affects not only access to social protection programmes, but also to the provision of services and the delivery of benefits. An analysis of contributions received shows that in many countries, public and private infrastructure (e.g., schools, health-care centres and housing) is often inaccessible to persons with disabilities. Similarly, while cash benefits are commonly paid by direct transfer into bank accounts, the accessibility of bank services is not always ensured. The same applies to the distribution of benefits in kind, particularly in rural and remote areas.[62]

74. Even when programmes and services are physically accessible, lack of accessible transportation can impede persons with disabilities reaching them. Additionally, it can increase the cost of accessing benefits to the point of making them irrelevant.

75. Information, materials and communication pertaining to social protection programmes must not create barriers to the participation of persons with disabilities. Persons with sensory and intellectual impairments are often particularly affected. In fact, when information, materials and procedures are neither accessible nor easy to understand, persons with disabilities have no means of knowing about the existence of programmes and their requirements. This is important also because of the greater likelihood of persons with disabilities being illiterate because of lack of access to education.

76. In this regard, the Committee on the Rights of Persons with Disabilities has stressed that States should ensure that social protection measures and services are provided in an accessible manner, in accessible buildings, and that all information and communication pertaining to them is accessible.[63] The Committee has also highlighted the importance of adopting measures to remove barriers to access to

[60] Convention on the Rights of Persons with Disabilities, art. 5 (3).
[61] CRPD/C/ESP/CO/1, para. 44.
[62] Daniel Mont, see note 48.
[63] Committee on the Rights of Persons with Disabilities, general comment No. 2, para. 42.

basic services, drinking water and sanitation in rural and remote areas, and to include organizations of persons with disabilities in the monitoring of their implementation.[64]

H. Participation

77. States have an obligation to ensure that persons with disabilities are actively engaged in the development of social protection systems. The principle of participation is expressly recognized in article 3 (c) of the Convention on the Rights of Persons with Disabilities. Article 29 (b) of the Convention further requires States to promote an environment in which persons with disabilities can effectively and fully participate in the conduct of public affairs, on an equal basis with others, and to encourage their participation in public affairs. Article 4, paragraph 3, requires States to consult and involve persons with disabilities, including children with disabilities, in the development and implementation of legislation and policies to implement the Convention, and in other decision-making processes concerning issues relating to persons with disabilities.

78. Accordingly, persons with disabilities must be granted the opportunity to participate, through their representative organizations, in the planning, design, implementation and monitoring of social protection systems, at all levels of governance. Such participation ensures that domestic efforts to implement social protection systems are informed by the perspectives and experiences of persons with disabilities, and helps to engage and commit policy makers and civil servants.

79. In most cases, however, States do not systematically consult with persons with disabilities. A majority of the contributions received for the present report illustrate either a lack of consultation or sporadic, merely symbolic processes, with unrealistic time frames. Additionally, when consultations are undertaken, they are often limited to disability-specific programmes (rather than being on overall policies or strategies on social protection) or are conducted only at the central level. Organizations of persons with disabilities need to be informed of ongoing efforts, and processes need to be clear, accessible and disability-friendly, given that organizations of persons with disabilities are often underresourced and unfamiliar with the field of public decision-making and their right to participate therein.[65]

80. States should also ensure that the diversity of persons with disabilities is represented and consulted in decision-making processes related to the right to social protection. However, persons with autism, intellectual impairment and psychosocial disabilities, as well as children and older persons with disabilities are often excluded from such consultations, because they are less likely to have their own representative organizations. Finally, indigenous persons with disabilities and persons with disabilities living below the poverty line or in rural or remote areas, face additional, multi-faceted barriers to participation.

[64] CRPD/C/SLV/CO/1, para. 58; CRPD/C/MEX/CO/1, para. 53; CRPD/C/CHN/CO/1, para. 43.

[65] Convention on the Rights of Persons with Disabilities, arts. 3 (c); 4, para. 3; 29; and 33, para. 3.

I. Resource implications

81. Implementing a social protection system not only entails having legislation and policies in place, but also financial resources and institutions with the capacity to implement and monitor them. The obligation of progressive realization compels States to take appropriate measures to the maximum of their available resources towards the full realization of the right to social protection. This concept should not be understood as discharging States from any obligations until they have sufficient resources. On the contrary, States must take constant steps to improve the enjoyment of the right to social protection of persons with disabilities, with a time-bound plan and measurable benchmarks to help monitor progress.

82. States have various obligations of immediate effect in relation to the right of persons with disabilities to social protection, which include: the elimination of discrimination in the exercise of this right, the promotion of gender equality, securing access to social protection and ensuring a minimum essential level of benefits for all persons with disabilities and their families.[66] These minimum essential levels constitute the core of nationally defined social protection floors and are crucial to securing an adequate standard of living for persons with disabilities, including basic subsistence, essential primary health care, basic shelter and housing, and basic forms of education.[67] States must meet these core obligations even if their resources are scarce.

83. To guarantee progressive realization of the right to social protection, States should formulate strategies and plans that include realistic, achievable and measurable indicators and time-bound targets, designed to assess progress in its implementation. In addition, States should adopt adequate laws and policies, and disburse funds to implement these plans and strategies. States must refrain from entrusting private charities with funding responsibility for persons with disabilities, owing to the unsustainability of this approach and the possible negative impact on the rights of persons with disabilities.[68]

84. In practice, since the financial crisis of 2008, many countries have been reducing their social protection systems, disproportionately affecting persons with disabilities. In some countries, austerity measures include cuts in or caps on disability benefits, stricter eligibility criteria, the elimination or reduction of subsidies and tax credits, and reduced expenditure on community support services, such as in-home services and personal assistance. These cuts are not only affecting the standard of living of those who relied on such benefits, but also limit their capacity to live independently, often leading to their institutionalization.

85. The obligation of progressive realization prohibits deliberate retrogressive measures in the exercise of the right to social protection. According to the Committee on Economic, Social and Cultural Rights, States can only justify a retrogressive measure if it is introduced after the most careful consideration of all other alternatives, and if duly justified by reference to the totality of the rights enshrined in the Covenant on Economic, Social and Cultural Rights.[69] States must

[66] Committee on Economic, Social and Cultural Rights, general comment No. 19, para. 59.

[67] M. Sepulveda and C. Nyst, see note 40.

[68] CRPD/C/MEX/CO/1, para. 18; CRPD/C/PER/CO/1, para. 18; and Committee on the Rights of the Child, CRC/C/MEX/CO/4-5, para. 45.

[69] Committee on Economic, Social and Cultural Rights, general comment No. 19, para. 42.

also demonstrate that the affected groups participated in the assessment of the proposed measures and alternatives; that the measures are not directly or indirectly discriminatory; and that they will not have a sustained impact on the realization of the right to social protection.

86. Lastly, international cooperation plays a crucial role in supporting national efforts for the realization of the right to social protection of persons with disabilities, for example by ensuring that official development aid is inclusive of, and accessible by, persons with disabilities; facilitating and supporting capacity-building; enabling cooperation in research and access to scientific and technical knowledge; and providing technical and economic assistance, as appropriate.[70] South-to-South and triangular cooperation, in particular, can reinforce national ownership of efforts in relation to social protection and persons with disabilities. In all cases, international cooperation must be provided in a manner that is consistent with the human rights of persons with disabilities, and in a sustainable and culturally appropriate manner.[71] States should promote disability-inclusive international cooperation in partnership with relevant international and regional organizations, including financial institutions, and civil society, especially organizations of persons with disabilities.

V. Conclusions and recommendations

87. **Securing the right of persons with disabilities to social protection must be a priority for States and the international community. Inclusive social protection systems, including social protection floors, can contribute significantly to supporting the social participation and inclusion of persons with disabilities by ensuring income security and access to social services. They can also play an important role in fostering the realization of the Sustainable Development Goals for persons with disabilities. For that purpose, States must move away from traditional disability-welfare approaches and turn towards rights-based ones, and must develop comprehensive social protection systems that guarantee benefits and access to services for all persons with disabilities across the life cycle. The inclusion of persons with disabilities in social protection systems is not only a human rights issue, but also a crucial investment for development that States cannot afford to miss.**

88. **The Special Rapporteur makes the following recommendations to States with the aim of assisting them in developing and implementing disability-inclusive social protection systems:**

(a) **Ensure that the right of persons with disabilities to social protection is recognized in domestic legislation and taken into account in national social protection strategies and plans, including nationally defined social protection floors;**

(b) **Implement comprehensive and inclusive social protection systems that mainstream disability in all programmes and interventions, and ensure access to specific programmes and services for disability-related needs. Social**

[70] Convention on the Rights of Persons with Disabilities, art. 32.

[71] Committee on Economic, Social and Cultural Rights, general comment No. 19, para. 55.

protection systems should be made available, accessible, adequate and affordable for persons with disabilities;

(c) Design disability benefits in a way that promotes the independence and social inclusion of persons with disabilities and does not limit their full and equal enjoyment of other human rights and fundamental freedoms;

(d) Ensure that eligibility criteria and targeting mechanisms do not discriminate directly or indirectly against persons with disabilities; disability determination, when established, must respect the rights and dignity of persons with disabilities;

(e) Guarantee that benefits and services offered by social protection programmes are relevant for persons with disabilities and consistent with the right to an adequate standard of living;

(f) Refrain from adopting any retrogressive austerity measures that directly or indirectly affect the right of persons with disabilities to social protection;

(g) Develop disability-related indicators, undertake research on social protection and collect data, disaggregated on the basis of disability and gender, to adequately assess the impact of social protection programmes on persons with disabilities;

(h) Establish formal consultative mechanisms to ensure the active involvement and participation of persons with disabilities and their representative organizations in decision-making processes related to social protection, including in relation to budget cuts;

(i) Encourage international cooperation to support inclusive social protection systems, facilitate cooperation to make mainstream social protection programmes inclusive of persons with disabilities, and develop and improve disability-specific programmes and services.

89. The Special Rapporteur also recommends that the United Nations system, including all its programmes, funds, specialized agencies and other organs, continue its efforts to promote social protection systems that are inclusive of persons with disabilities, and provide additional technical guidance to States in implementing inclusive social protection systems.

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Sustainable development

Agricultural technology for development

Report of the Secretary-General

Summary

Agriculture in a broad sense, comprising crops, livestock, fisheries and forest products, presents both a major challenge and a potential solution in terms of sustainable development. Land degradation and soil health, scarcity of and competition for land and water resources, loss and waste of food, the environmental impacts of agrochemicals, biodiversity loss, climate change and natural disasters all affect the ability of producers to ensure food security in a way that is environmentally, economically and socially sustainable. The present report examines trends in technologies that have the potential to overcome those challenges and enable producers to transition to more sustainable agricultural systems.

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I. Overview

1. The present report has been prepared in response to General Assembly resolution 68/209, entitled "Agricultural technology for development", in which the Assembly requested the Secretary-General to submit, at its seventieth session, a report on the implementation of that resolution.

2. With the upcoming adoption of the outcome document "Transforming our world: the 2030 Agenda for Sustainable Development" of the United Nations summit for the adoption of the post-2015 development agenda, there is an urgent need to transition from negotiation to action, and from vision to implementation.

3. We have the solutions to transform our food systems. However, implementing those solutions requires increased political will. In developed countries, where large surpluses of food are produced with subsidy support and the externalization of social and environmental costs, and where food waste is rampant, sustainably producing what is needed while minimizing waste should be the priority. In developing countries, where production is insufficient, there is a need for incentives to expand production sustainably by focusing on the local production of diverse, culturally appropriate and nutritious food. This, in turn, would generate local wealth, reduce rural-to-urban migration, improve the nutritional status of the population and create an enabling environment for equitable and sustainable development. In addition, the unfair competition created by subsidized commodities from developed countries must be avoided.

4. The necessary shift in agriculture and the food system will require a major overhaul of international research institutions. Research and development must evolve to address a more complex set of challenges. It is insufficient to invest in climate-smart agriculture alone. Only a comprehensive, holistic and dynamic approach to the food system will bring about the results needed to achieve sustainable development.

5. To enable that shift, thorough assessments at the national, regional and global levels are needed, as suggested in the International Assessment of Agricultural Knowledge, Science and Technology for Development synthesis report.[1] Integrated assessments will enhance policymakers' capacity to develop, implement, and follow up and review progress on policies and strategies to achieve the Sustainable Development Goals. The Committee on World Food Security has been given a mandate under paragraph 115 of the outcome document of the United Nations Conference on Sustainable Development, entitled "The Future We Want", to develop guidelines for such national assessments of sustainable food production and food security, and will take up discussions on that subject in October 2015, in relation to the proposed workstream on implementing the post-2015 development agenda.

6. The present report examines the current status and trends of agricultural technologies and provides suggestions for transitioning to sustainable agricultural systems.

[1] Beverly D. McIntyre, ed., *Agriculture at a Crossroads*, International Assessment of Agricultural Knowledge, Science and Technology for Development (Washington, D.C., Island Press, 2009).

II. Challenges to sustainable production

A. Land degradation and soil health

7. Healthy soils are the basis of food security and nutrition. According to the Food and Agriculture Organization of the United Nations (FAO), approximately 95 per cent of our food is directly or indirectly produced on soils.[2] However, due to erosion, salinization, compaction, acidification and chemical pollution, 33 per cent of world soils are moderately to highly degraded.[3] Unsustainable farming practices, including conventional agriculture, monoculture and deep tillage, greatly accelerate rates of erosion and soil loss in both developed and developing countries.[4]

8. There is an increasing awareness of agriculture's dual role as a source of food security and as a source of environmental services. As soil is the basic resource for land use, it is central to sustainable land management. Rapid advances in scientific understanding of soil processes in areas such as global carbon and climate models[4] are crucial, as soil carbon is directly correlated with soil quality and can also contribute to carbon emissions.[5] According to the Intergovernmental Panel on Climate Change, carbon sequestration will account for 90 per cent of global agricultural mitigation potential by 2030. However, progress in adopting technological advances to improve sequestration is slow, especially in the developing world.[5]

B. Competition for land

9. A new FAO report notes that, in recent years, "many Governments have ... set limits on transfer of land, revised processes for assessing project proposals, and engaged local communities and individuals in participatory land use planning".[6] However, least developed countries, which have much to gain from investment in sustainable land management, often have inconsistent laws and policies as well as limited institutional capacity.[6]

10. Given the increasing demand for land-derived products and services, low leasing fees and diminishing land supply, large-scale land investments or speculation on them are expected to yield high returns.[6] Pressures on productive land are further increased by urban growth. In Africa, urbanization is expected to

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[2] FAO, "Healthy soils are the basis for healthy food production", accessed on 25 August 2015. Available from www.fao.org/3/a-i4405e.pdf.

[3] FAO, "Soil is a non-renewable resource", accessed on 25 August 2015. Available from www.fao.org/3/a-i4373e.pdf.

[4] Ronald Amundson and others, "Soil and human security in the 21st century", *Science*, vol. 348, No. 6235 (8 May 2015). Available from www.sciencemag.org/content/348/6235/1261071.figures-only.

[5] World Bank, "Carbon sequestration in agricultural soils", report No. 67395-GLB. Available from https://openknowledge.worldbank.org/bitstream/handle/10986/11868/673950REVISED000CarbonSeq0Web0final.pdf?sequence=1.

[6] Jesper Karlsson, "Challenges and opportunities of foreign investment in developing country agriculture for sustainable development", FAO Commodity and Trade Policy Research Working Paper No. 48 (Rome, FAO 2014). Available from www.fao.org/3/a-i4074e.pdf.

not only increase the conversion of arable land into urban and industrial areas, but simultaneously fuel demand for arable land due to increased urban food demand.[7]

C. Loss and waste of food

11. It has been estimated that 30 per cent of cereals; 40 to 50 per cent of root crops, fruits and vegetables; 20 per cent of oilseeds, meat and dairy products; and 35 per cent of fish are lost or wasted annually. This translates to approximately $1 trillion per year. At the global level, one third of the volume of food produced for human consumption (one quarter of calories) is lost or wasted. Food loss and waste threaten food security by reducing the availability of food, access to food and its nutritional content and have an unsustainable impact on natural resources. Food loss and waste also contribute significantly to climate change. Cereals, meat and vegetables account for more than 60 per cent of the carbon footprint from food waste in every region.[8]

D. Environmental impact of agricultural chemicals

12. The use of insecticides such as neonicotinoids has increasingly been questioned over the years, and recent studies highlight their subtle but lethal impact on ecosystems and ecosystem services. Where neonicotinoids are used, between 11 and 24 per cent of pollen and 17 to 65 per cent of nectar are contaminated with these insecticides. The health and survival of bees are being threatened by contaminated pollen from monoculture crops, which weakens their immune systems and causes them to contract more viral diseases.[9]

13. In addition, herbicide and pesticide resistance has increased over the past few years. In the United States, as at 2012, glyphosate resistance had expanded to affect 25 million hectares. Many studies[10] indicate that the resistance of weeds to glyphosate is due to the widespread adoption of genetically engineered herbicide-tolerant crops. Some plants have become resistant to more than five herbicides.[11]

14. The possible negative effects of the use of herbicides include biodiversity loss and a decline in soil quality.[11] Herbicide residue in surface water negatively affects regional biodiversity. Pesticides and herbicides also have an impact on the quality of aquatic environments, contributing to a decline in fish stocks. Studies indicate that more than 50 per cent of the 11,300 insecticide concentrations tested in surface

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[7] T. S. Jayne and others, "Land pressures, the evolution of farming systems, and development strategies in Africa: a synthesis", *Food Policy*, vol. 48 (October 2014).

[8] FAO, "Food losses and waste in the context of sustainable food systems: a report by the High-level Panel of Experts". Available from www.fao.org/3/a-i3901e.pdf.

[9] Francisco Sanchez-Bayo, "The trouble with neonicotinoids", *Science*, vol. 346, No. 6211 (14 November 2014).

[10] Jorge Fernandez-Cornejo and others, *Pesticide Use in U. S. Agriculture: 21 Selected Crops, 1960-2008*, United States Department of Agriculture, Economic Research Service, Economic Information Bulletin No. (EIB-124) (May 2014). Available from www.ers.usda.gov/publications/eib-economic-information-bulletin/eib124.aspx.

[11] "A growing problem", *Nature*, vol. 510, Issue 7504 (11 June 2014). Available from www.nature.com/news/a-growing-problem-1.15382.

waters or sediments exceeded safe levels.[12] In the Netherlands, for example, the decline of farmland bird populations has been associated with the use of pesticides.[13]

15. New research has helped to quantify the negative impact of biodiversity loss on food security and nutrition. For example, an estimated 100,000 species of insects, as well as birds and mammals, are responsible for pollinating two thirds of our food plants, representing 35 per cent of the world's crop production. With a mere 40 crops providing 95 per cent of humankind's food energy needs, and a subset of five cereal crops providing 60 per cent of the global energy intake, ecosystem services and biodiversity are crucial to achieving food security for all.[14] However, biodiversity continues to decline, thereby reducing the ability to provide essential life-sustaining services at the individual and community scales.[15]

E. Water use and management

16. According to the High-level Panel of Experts of the Committee on World Food Security, under the Organization for Economic Cooperation and Development's business-as-usual scenario, by 2050, multiple challenges related to water use and management will emerge. First, there will be a 55 per cent increase in global water demand. Second, 40 per cent of the global population living in river basins will experience water stress. Third, there will be a 130 per cent increase in domestic water use. As a result, there will be limited ability to increase irrigation.[16]

17. While groundwater represents an important source of water, including 40 per cent of irrigation water, much groundwater is not renewable, and slowly replenishing reservoirs can quickly become depleted.[16] Rain-fed agriculture continues to contribute significantly to food production globally, and reducing yield gaps without irrigation is a key challenge. In addition to crop management, livestock water availability needs to be improved, as drinking water constraints for livestock often limit the use of pastures and rangelands, and making water available could increase the sustainable use of available biomass.[16]

F. Climate change

18. In 2010, greenhouse gas emissions from agriculture accounted for 10 per cent of total anthropogenic emissions, almost as much as forest and land use combined, which amounted to (11 per cent). In addition, agricultural emissions have increased

[12] Sebastian Stehle and Ralf Schulz, "Agricultural insecticides threaten surface waters at the global scale", *Proceedings of the National Academy of Sciences of the United States of America*, vol. 112, No. 18 (13 March 2015). Available from www.pnas.org/content/112/18/5750.full.

[13] Caspar A. Hallmann and others, "Declines in insectivorous birds are associated with high neonicotinoid concentrations", *Nature* (9 July 2014). Available from www.nature.com/nature/journal/vaop/ncurrent/full/nature13531.html.

[14] "Biodiversity for food security and nutrition", *The World We Want*, No. 5 (July 2013).

[15] WHO and secretariat of the Convention on Biological Diversity, *Connecting global priorities: biodiversity and human health* (WHO Press, Geneva, Switzerland, 2015). Available from www.cbd.int/health/SOK-biodiversity-en.pdf.

[16] FAO, "Water for food security and nutrition: a report by the High-level Panel of Experts". Available from www.fao.org/fileadmin/user_upload/hlpe/hlpe_documents/HLPE_Reports/HLPE-Report-9_EN.pdf.

by approximately 1 per cent over the past two decades. Between 2001 and 2011, the three main emission sources from agriculture were enteric fermentation (40 per cent) followed by manure left on pasture (16 per cent) and synthetic fertilizers (13 per cent). Emissions from agriculture are likely to increase by 18 per cent by 2030 and 30 per cent by 2050[17] unless the above suggested transition to sustainable agriculture becomes a reality.

19. Agriculture is also greatly affected by climate change. Negative impacts on crop yields, mainly for wheat and maize, are more common than positive ones, which occur mostly in high-latitude regions.[18] They include new challenges from pests as well as water and heat stress.

G. Regional policy environments

20. Innovative systems to support family farmers and women farmers must move beyond a singular focus on increasing yields and addressing a complex set of objectives, including preserving natural resources and raising rural incomes.[19] Increased public investment is needed in research, development and extension services, along with market-based investment linked to private sector development.

21. It is important to emphasize that vast regional differences exist, with lower percentages of family farmers and women farmers in Latin America than in Asia and Africa. Therefore, innovations need to take into account their agroecological and socioeconomic conditions, and government policy objectives for the sector. Long-term funding for agriculture in developing countries is imperative to address the challenges of low investment levels and high volatility in funding. In addition, volatility in research and development expenditure is almost twice as high in low-income countries as it is in high-income countries.[20] Sub-Saharan Africa, where there is great dependency on donors,[19] also has the highest volatility. This has resulted in investment levels that are still well below the levels required to sustain agricultural research and development needs.

22. According to the Tropical Agriculture Platform, diverse regional challenges must be addressed to develop effective national agricultural innovation systems. In Africa, the challenges include limited access to resources, environmental challenges and lack of market access for value-added products. In Central America, proposed innovations are not adopted because they are found unsuitable for local conditions. In Asia, the lack of policies supporting capacity development is the most serious constraint.[20]

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[17] Francesco Nicola Tubiello and others, "The contribution of agriculture, forestry and other land use activities to global warming, 1990-2012", *Global Change Biology*, vol. 21, Issue 7 (July 2015).

[18] Intergovernmental Panel on Climate Change, *Climate Change 2014: Synthesis Report* (Geneva, 2015). Available from www.ipcc.ch/report/ar5/syr/.

[19] FAO, "The state of food and agriculture: innovation in family farming". Available from www.fao.org/3/a-i404e.pdf.

[20] Nienke M. Beintema and others, *ASTI Global Assessment of Agricultural R&D Spending: Developing Countries Accelerate Investment* (Washington, D.C., International Food Policy Research Institute, 2012).

III. Trends in agricultural technologies in developing countries

A. Trends in agricultural technologies

23. In order to address the challenges to sustainable food systems, a range of agricultural technology options exist. One study on the subject evaluated 11 agricultural technologies with at least some proven potential for yield improvement and wide geographic application: no-till, integrated soil fertility management, precision agriculture, organic agriculture, nitrogen-use efficiency, water harvesting, drip irrigation, sprinkler irrigation, the use of improved drought-tolerant varieties, the use of improved heat-tolerant varieties and crop protection.[21] According to the International Food Policy Research Institute, these select technologies and practices may increase yields of maize, rice and wheat through sustainable intensification.[22]

24. According to climate change models and the International Model for Policy Analysis of Agricultural Commodities and Trade, the most promising technologies for improving yields are the use of heat tolerant varieties in North America and South Asia; the use of drought tolerant varieties in Latin America and the Caribbean, the Middle East and North Africa, and sub-Saharan Africa; and crop protection in Eastern Europe, South Asia and sub-Saharan Africa. In addition, the adoption of irrigation technologies is expected to amplify and complement the adoption of these technologies.[22]

25. The International Food Policy Research Institute concludes that addressing the issues of both climate change and food security will require increased investments in research on crop productivity, irrigation technologies, and resource management and conservation.[22]

26. In contrast to the Institute's sustainable intensification focus, the United Nations Conference on Trade and Development (UNCTAD) builds upon the report of the International Assessment of Agricultural Knowledge, Science and Technology for Development by calling for a paradigm shift from the Green Revolution's focus on yield maximization to an "ecological intensification"[23] approach. Such an approach involves increasing agricultural outputs (food, fibre, agrofuels and environmental services) while reducing the use of and need for external inputs (agrochemicals, fuels and plastic), capitalizing on ecological processes that support and regulate primary productivity in agroecosystems.[24]

27. Recommendations by UNCTAD include agricultural technologies that can contribute to the establishment of mosaics of sustainable, regenerative production systems that also considerably improve the productivity of small-scale farmers. The keys to an agricultural transformation include increasing soil carbon content and

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[21] Mark W. Rosegrant and others, *Food Security in a World of Natural Resource Scarcity* (Washington, D.C., International Food Policy Research Institute, 2014).

[22] FAO, "Climate-smart agriculture sourcebook", 2013. Available from www.fao.org/3/a-i3325e.pdf.

[23] UNCTAD, *Trade and Environment Review 2013: wake up before it is too late*, document UNCTAD/DITC/TED/2012/3, 2013.

[24] Pablo Tittonell and Ken E. Giller, "When yield gaps are poverty traps: the paradigm of ecological intensification in African smallholder agriculture", *Field Crops Research*, vol. 143 (1 March 2013).

better integration between crop and livestock production and increased incorporation of trees, (agroforestry) and wild vegetation; the reduction of direct and indirect (i.e. through the feed chain) greenhouse-gas emissions of livestock production; the reduction of indirect greenhouse gas emissions, which occur as a result of changes in land-use, through sustainable peatland, forest and grassland management; the optimization of organic and inorganic fertilizer use, including through closed nutrient cycles in agriculture; the reduction of waste throughout the food chain; changes in dietary patterns towards climate-friendly food consumption; and reform of the international trade regime for food and agricultural products.[23]

28. The United Nations Environment Programme's green economy models have shown that investing 0.16 per cent of global gross domestic product (GDP) in sustainable agriculture per year ($198 billion between 2011 and 2050) would provide strong returns compared to the baseline scenario of conventional and traditional agriculture. Investment divided equally across environmentally sound practices, such as no- or low-till; preventing pre-harvest loss; preventing post-harvest loss; and research and development in soil science, climate adaptation and improvements in energy and water-use efficiency, lead to improved soil quality, increased agricultural yields and reduced land and water requirements in addition to increasing GDP growth and employment, improving nutrition and reducing energy consumption and carbon dioxide emissions.

29. Given the current low yields in developing countries, the introduction of sustainable agricultural practices, including organic farming, in developing countries can significantly increase yields, although reliable long-term studies are still lacking. One study identified an average of 80 per cent higher yields for organic agriculture in developing countries, but it has been criticized for double-counting and not controlling for inorganic inputs.[25] Subsequent meta-studies used more restricted samples, which effectively excluded wheat, maize and rice from their calculations of lower estimates. Comparing high-input conventional agriculture to organic agriculture, one such study contended that the claim that organic agriculture can increase yields in smallholder agriculture in developing countries could not be ruled out.[26] A review of sustainable intensification emphasized the necessity for a radical rethinking of food production to achieve major reductions in environmental impact,[27] because in some locations and contexts, yield reductions would be necessary to ensure sustainability and strengthen the ecosystem.

30. The Swiss office of the Research Institute of Organic Agriculture is conducting ongoing long-term system comparison trials in India (cotton); Kenya (maize, potato and beans); and Bolivia (cacao). Initial results on yield and profitability from India show higher gross margins in organic as compared to conventional agriculture after conversion.[28] That impact was confirmed in a meta-analysis of 55 crops across five continents, which showed that organic

[25] Catherine Badgley and others, "Organic agriculture and the global food supply", *Renewable Agriculture and Food Systems*, vol. 22, No. 2 (June 2007).

[26] Verena Seufert, Navin Ramankutty and Jonathan A. Foley, "Comparing the yields of organic and conventional agriculture", *Nature*, vol. 485, Issue 7397 (10 May 2012).

[27] T. Garnett and others, "Sustainable intensification in agriculture: premises and policies", *Science*, vol. 341, No. 6141 (5 July 2013).

[28] Dionys Forster and others, "Yield and economic performance of organic and conventional cotton-based farming systems — results from a field trial in India", *PLoS ONE*, vol. 8, No. 12 (4 December 2014).

agriculture is 22 to 35 per cent more profitable than conventional agriculture when price premiums are applied.[29]

31. While certified organic agriculture continues to display significant annual growth, now occupying 1 per cent of global cropland, its direct contribution to nutrition is limited by the export focus in developing countries, with some exceptions, including China. There is a movement to go beyond certified organic agriculture, e.g., through the participatory guarantee system of the International Federation of Organic Agriculture Movements, which is aimed at more domestic and regional production by reducing certification costs by 70 to 90 per cent.

32. Addressing nutrition insecurity will require moving beyond a few global staples and diversifying production and farmers' strategies for increasing their resilience to climate change. Since the most recent report of the Secretary-General on agricultural technology for development (A/68/308), agroecology has gained significant momentum as a set of practices that address those challenges. At the first International Symposium on Agroecology for Food Security and Nutrition, the Director-General of FAO stated that agroecology offered win-win solutions that could increase productivity, improve resilience and make more efficient use of natural resources.[30] Using a knowledge-intensive approach, an agroecological system minimizes dependence on energy-intensive (external) inputs, enhances the recycling of biomass and optimizes nutrient availability; has minimal negative effects on the environment and releases insignificant amounts of toxic or damaging substances into the atmosphere, soil, surface water or groundwater; minimizes the production of greenhouse gases and works to mitigate climate change, including by increasing the ability of managed systems to store fixed carbon; works to value and conserve the biological and genetic diversity of plants and animals, both in the wild and in domesticated landscapes; contributes to the eradication of hunger and the achievement of food security in culturally appropriate ways; and strives to guarantee every human being the right to adequate food.

33. The following sections outline specific agricultural technologies and practices that are aimed at not only addressing current challenges, but also achieving long-term food security and social and economic development.

B. Addressing food security

34. A recent study contends that smallholder farmers in Africa are unable to benefit from the current yield gains offered by plant genetic improvement, as continued cropping without sufficient inputs of nutrients and organic matter leads to localized but extensive soil degradation and renders many soils in non-responsive.[24]

35. Improving soil health means going beyond singular applications of inorganic fertilizer. At a minimum, integrated soil fertility management involves the use of locally available resources, the combined application of organic resources and fertilizer, and more efficient use of both inputs. Where soil nutrients have been

[29] David W. Crowder and John P. Reganold, "Financial competitiveness of organic agriculture on a global scale", *Proceedings of the National Academy of Sciences of the United States of America*, vol. 112, No. 24 (1 May 2015).

[30] FAO, *Final Report for the International Symposium on Agroecology for Food Security and Nutrition* (Rome, 2015).

mined, more elaborate interventions are needed, such as subsoil tillage or the application of large quantities of high quality manure or lime. The availability of organic fertilizer can be enhanced by intercropping nitrogen-fixing legumes, such as pigeon peas or cowpeas, and nitrogen-fixing trees, such as Faidherbia albida. A metastudy of conservation agriculture found that although no-till reduces yields, the reductions can be mitigated through the use of residue retention and crop rotation. The study therefore recommended that the promotion of conservation agriculture in South Asia or sub-Saharan Africa be limited to areas where both residue retention and crop rotation are already employed.[31] Historically, the adoption of no-till agriculture has been slow in capital-constrained developing countries, where additional herbicide input and access to no-till seeder equipment is more difficult.

36. In terms of biodiversity loss, a meta-analysis found that when compared to conventional farming, organic agriculture has a significant positive effect on species' richness.[32] The study focused on data from developed countries, highlighting the potential to address the challenges posed by input-intensive mono-cropping, and illustrating the need to move beyond using yield as the sole criterion when undertaking long-term systems comparisons in developing countries. In a recent meta-analysis of more than 1,000 observations, multi-cropping and crop rotation have been found to not only benefit the ecosystem, but also successfully reduce the yield gap between organic and conventional agriculture from 19.2 per cent to 9 and 8 per cent respectively.[33] Another study, in Malawi found that integrating community nutrition education activities into a legume diversification project not only increased yields but also significantly improved the weight of children under the age of 2 for years after the intervention.[34]

37. Sustainable crop intensification has shown promise in terms of contributing to food security. It is a knowledge-intensive approach and combines the early establishment of healthy plants with reductions in crop density, thereby increasing soil fertility with organic matter, and the systematic application of water to support plant-root and soil-microbial growth. With yield increases above 70 per cent for rice and wheat in India and 70 per cent for teff in Ethiopia, this agroecological technology has attracted the attention of policymakers and is now applied to numerous other crops, including finger millet, sugarcane, legumes and vegetables.[35]

38. Integrated pest and weed management can particularly benefit marginalized populations and women (see box below).

[31] Cameron M. Pittelkow and others, "Productivity limits and potentials of the principles of conservation agriculture", *Nature*, vol. 517, Issue 7534 (15 January 2015).

[32] Sean L. Tuck and others, "Land-use intensity and the effects of organic farming on biodiversity: a hierarchical meta-analysis", *Journal of Applied Ecology*, vol. 51, Issue 3 (June 2014).

[33] Lauren C. Ponisio and others, "Diversification practices reduce organic to conventional yield gap", *Proceedings of the Royal Society B* (10 December 2014).

[34] Rachel Bezner Kerr and others, "Farmer-led climate change adaptation strategies to improve food security, nutrition and soil health: policy recommendations," paper presented at a climate change adaptation policy workshop, 4 March 2014.

[35] Binju Abraham and others, "The system of crop intensification: reports from the field on improving agricultural production, food security, and resilience to climate change for multiple crops", *Agriculture & Food Security*, vol. 3, No. 1 (25 February 2014).

Push-Pull — a knowledge-intensive solution

The Push-Pull technology, developed by the International Centre of Insect Physiology and Ecology, based in Nairobi, efficiently controls pests and improves soil fertility. Push-Pull provides agroecological solutions to some of the most common challenges facing smallholder farmers in sub-Saharan Africa: stem borers, Striga and low soil fertility affecting cereal production. It is based on research by the International Centre and Rothamsted Research on behaviour-affecting chemicals produced by plants and insects.

The technology consists of intercropping maize with a repellent plant, such asdesmodium, and planting an attracting plant, such as napier grass, as a border crop. Stem borer moths are attracted by the volatile compounds of the napier grass and, after the eggs hatch, the larvae get trapped by a sticky substance produced by the grass. Napier grass is also a valuable carbohydrate-rich livestock fodder. Desmodium, on the other hand, is a perennial cover crop that repels the moth through its volatile compounds, suppresses Striga, fixes nitrogen, conserves soil moisture, enhances arthropod abundance and diversity, and increases organic matter in the soil.

While providing a pest management solution, Push-Pull makes cereal cropping systems resilient to climate change. The latest version of this technology includes drought-tolerant desmodium, brachiaria as a trap crop and sorghum. Furthermore, it promotes the integration of livestock husbandry, increasing household nutrition via milk products, and diversifies income sources, allowing smallholders entry into the cash economy. As it employs local plant varieties, it integrates well with the traditional mixed cropping system of sub-Saharan Africa.

With respect to its impact, Push-Pull has to date been adopted by nearly 100,000 smallholders in East Africa and has successfully and sustainably doubled and even tripled maize yields.

39. Without private funding, it is difficult to achieve widespread adoption of knowledge-intensive agroecological technologies owing to poor public extension and advisory services. Farmer field schools help to scale up technologies and reach marginalized populations by addressing both technical complexities and the local contexts required for knowledge-intensive practices to be understood and adopted. In a West African regional programme, introducing integrated pest management to 30,000 farmers from a field school resulted in a median pesticide use reduction of 75 per cent, yield increases of 23 per cent and net margins of 41 per cent. In addition, building the capacity of farmers to become trainers can enhance the reach of a successful pilot project.[36]

40. Preharvest losses have a significant impact on food security in rural communities. Therefore, new technologies are needed to reduce food loss and waste. The FAO Global Initiative on Food Loss and Waste Reduction helps develop regional programmes and supports their national implementation, including through

[36] FAO, *Investing in Food Security* (2009). Available from http://www.fao.org/fileadmin/templates/ag_portal/docs/i1230e00.pdf.

projects for piloting and implementing food loss reduction strategies. The main areas of action identified along the food chain include improved production planning, aligned with markets; the promotion of resource-efficient production and processing practices; improved preservation and packing technologies; improved transportation and logistics management; enhanced awareness of purchasing and consumption habits; and ensuring that all chain actors, including women and small producers, receive a fair share of the benefits. Smallholders will need access to new and innovative technologies even when capital constraints exist. A recent meta-analysis in six African countries found that the majority of innovations address storage pests in a smallholder environment, with only a minority dealing with handling, transportation and processing.[37] In addition to the need to conduct studies beyond the area of storage, country-level case studies and community-based solutions are essential and should include working with producer organizations to implement a warehouse ticketing system. Furthermore, local innovations such as evaporative cool storage systems that require no energy input and can address one of the main causes of food loss in rural settings in developing countries must be supported with public funding.

C. Addressing social and economic development

41. Providing access to markets is key for social and economic development. By moving beyond certified organic agriculture for export markets, the introduction of participatory guarantee systems will allow access to regional markets for marginalized farming populations, who can then produce for a growing middle-class consumer base. A 2015 study found that median organic premiums for organic crops were 32 per cent, but the median breakeven premiums needed to match conventional farmers' were merely 5 per cent.[29] Since organic farmers in low-input environments tend to obtain significantly higher yields, these lower price incentives are realistic even when the time for conversion to organic practices is taken into account. Public investments in traditional markets and farmers' understanding of market forces, and producer organizations are critical for other crops as well. A successful example can be found in the case of indigenous highly nutritious vegetables, or "orphan crops", that have long been ignored but are making a revival in African markets due to strong consumer demand, benefiting not only the female farmers who grow them but also household nutrition.[38]

42. The farm household economy can be improved, especially for women, by increasing access to water and by providing technologies to reduce fuelwood consumption, and small-scale equipment for food processing or field operations. At the collective level, investments are necessary for sustainable landscape management and to improve access to financial services. The mere availability of credit, however, is not enough. Financial services must be structured to induce farmers to make innovations in their operations. Since adopting such innovations often yields benefits over the longer term, it is essential to not only support farmers with access to sustainable financing services, but also strengthen their land tenure security.

[37] Hippolyte Affognon and others, "Unpacking postharvest losses in sub-Saharan Africa: a meta-analysis", *World Development*, vol. 66 (February 2015).

[38] Rachel Cernansky, "The rise of Africa's super vegetables", *Nature*, vol. 9, Issue 7555 (9 June 2015).

43. The importance of secure tenure is recognized in the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security, which were endorsed by the Committee on World Food Security at its thirty-eighth (special) session, in 2012, and in the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication, which were endorsed by the FAO Committee on Fisheries at its thirty-first session, in 2014.

44. Additional investments in public goods, such as roads and electricity, and improved access to information and communications technology are also important. In China, every dollar invested in communication resulted in an increase in rural GDP by nearly $7 and agricultural GDP by $1.91.[39] Providing access to innovative information and communications technology for agronomic information can result in significant dividends.

D. Addressing climate change

45. Shifts in agricultural production systems can successfully reduce or halt carbon dioxide emissions, in addition to sequestering carbon. According to the Rodale Institute, findings from farming system and pasture trials show that more than 100 per cent of current annual carbon dioxide emissions can be sequestered by shifting to organic sustainable management practices.[40] Sequestration is enhanced by permanent ground covers, perennial crops and no- to low-tillage; fossil fuel use can be reduced by decreasing the use of synthetic fertilizers and pesticides. Improved resource efficiency in livestock can both improve food security and reduce the intensity of greenhouse gas emissions.

46. A variety of proven knowledge-intensive adaptations to climate change with low technological requirements have been identified, including improved planting dates, integrated pest management, intercropping and crop rotation, nitrogen-fixation, agroforestry, composting, perennial crops, cover crops, green manure, zero- or reduced-tillage, and microdrip irrigation.[41] At the structural level, social capital, governance and safety nets are important.

47. While breeding plant varieties for drought- or heat-tolerance shows promise, the challenge that remains is to create varieties that not only outperform others in stress conditions but also remain competitive under limited stress. Thus far, conventional breeding efforts, including under the Drought Tolerant Maize for Africa project, have outperformed efforts involving genetically engineered varieties,[42] thereby re-emphasizing the need for genetic diversity in adaptation to climate change. However, the potential to provide improved yields or strengthen

[39] FAO, "Investing in smallholder agriculture for food security: a report by the High-level Panel of Experts on Food Security and Nutrition". Available from www.fao.org/fileadmin/user_upload/hlpe/hlpe_documents/HLPE_Reports/HLPE-Report-6_Investing_in_smallholder_agriculture.pdf.

[40] Rodale Institute, "Regenerative organic agriculture and climate change: a down-to-earth solution to global warming" (Kutztown, Pennsylvania, 2014). Available from http://rodaleinstitute.org/assets/WhitePaper.pdf.

[41] Benjamin E. Graeub, Samuel Ledermann and Hans R. Herren, "Knowledge and technological requirements to adapt to climate change", in *Global Environmental Change*, Bill Freedman, ed. (Springer Netherlands, 2014).

[42] Natasha Gilbert, "Cross-bred crops get fit faster", *Nature*, vol. 513, Issue 7518 (16 September 2014).

climate resilience continues to depend on healthy soils that are rich in nutrients and water-storing organic matter.

48. A 2014 study found eco-intensification — in that case, the inclusion of nitrogen-fixing trees — a viable option for yield increases, because it improved water infiltration rates and the soil's water-holding capacity under conditions potentially caused by climate change, as long as such conditions did not exceed critical water and temperature thresholds.[43] Agroecology offers practices that strengthen the resilience of farmers and their rural communities via the diversification of agroecosystems in the form of polycultures, agroforestry systems and mixed crop-livestock systems, accompanied by organic soil management, water conservation and harvesting, and a general enhancement of agrobiodiversity. Field observations in Central America after Hurricane Mitch showed that plots under agroecological management had 20 to 40 per cent more topsoil, greater soil moisture and less erosion, and experienced lower economic losses than their conventional neighbours.[44]

49. To improve food security and build climate resilience, it will be important to move beyond the field level and address the landscape level as well. Resilient landscape management, illustrated by World Food Programme (WFP) case studies in Ecuador, Ethiopia and Kenya, has been successful at the community level. The practices implemented included environmental rehabilitation and ecological restoration through area closures, moisture harvesting and biomass enhancements or rainwater harvesting by means of trapezoidal bunds, water pans or rock catchments.[45] A range of successful technologies, including their costs and benefits, have been compiled in the World Overview of Conservation Approaches and Technologies database and published as field guides.[46]

IV. Role of agriculture technologies in the post-2015 development agenda

50. The post-2015 development agenda, entitled "Transforming our world: the 2030 Agenda for Sustainable Development", which is to be adopted by heads of State and Government in September 2015, includes the Sustainable Development Goals and their targets for ending hunger, achieving food security and nutrition, and shifting to sustainable agriculture and food systems. Goal 2, "End hunger, achieve food security and improved nutrition and promote sustainable agriculture" and its targets set out detailed objectives.

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[43] Christian Folberth and others, "Effects of ecological and conventional agricultural intensification practices on maize yields in sub-Saharan Africa under potential climate change", *Environmental Research Letters*, vol. 9, No. 4 (April 2014).

[44] Eric Holt-Giménez, "Measuring farmers' agroecological resistance after Hurricane Mitch in Nicaragua: a case study in participatory, sustainable land management impact monitoring", *Agriculture, Ecosystems and Environment*, vol. 93 (2002).

[45] Louise E. Buck and Ian D. Bailey, *Managing for Resilience: Framing an Integrated Landscape Approach for Overcoming Chronic and Acute Food Insecurity* (Washington, D.C., EcoAgriculture Partners, 2014). Available from http://ecoagriculture.org/documents/files/doc_699.pdf.

[46] Hanspeter Liniger and others, *Sustainable Land Management in Practice: Guidelines and Best Practices for Sub-Saharan Africa* (TerrAfrica, World Overview of Conservation Approaches and Technologies and FAO, 2011).

51. Targets that speak to the same challenges can also be found in goal 3 on health, goal 5 on gender, goal 6 on water, goal 7 on energy, goal 8 on economic growth, goal 11 on sustainable cities, goal 12 on sustainable consumption and production, goal 13 on climate change, goal 14 on oceans, goal 15 on ecosystems and biodiversity and goal 17 on the means of implementation.

52. Agriculture technology will have an important role to play in successfully implementing the targets of the post-2015 development agenda related to food security, nutrition and sustainable agriculture. These include the targets under goal 2 and interlinked targets in other goal areas, such as targets 3.9 on reducing deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination, 6.4 on increasing water-use efficiency and reducing water scarcity, 12.3 on halving global food loss and waste, 14.b on providing access for small-scale artisanal fisheries to marine resources and markets and 15.3 on restoring degraded land and soil and striving for a land-degradation neutral world.

53. Agroecology and organic and regenerative agriculture can make a substantial contribution towards meeting targets 2.3, 2.4, 3.9 and 15.3. Those practices also have the potential to address targets 2.1, 2.2 and 6.4. Investing in efficient storage solutions for smallholders contributes towards meeting targets 2.1, 2.3, 2.4 and 12.3. Sustainable agricultural technologies, such as biological pest and weed management or sustainable crop intensification, have the potential to contribute to the achievement of targets 2.1, 2.2, 2.3, 2.4, 3.9, 6.4 and 15.3. Resilient and sustainable landscape management can contribute to achieving targets 6.4 and 15.3, with long-term contributions to achieving targets 2.1 through 2.4, while agroforestry can specifically contribute to achieving target 2.2 on reducing malnutrition. Investing in improved systems for monitoring the effectiveness of agricultural technologies will further support the achievement of these targets. No- or low-till agriculture that avoids herbicide use has the possibility to contribute to achieving targets 2.1, 2.3 and 2.4.

54. Agroecology offers the needed range of solutions to deliver on all elements of the Zero Hunger Challenge. In addition, it has all the elements necessary to make agriculture and food systems more sustainable and resilient and therefore contribute to a transition to sustainable agriculture and help countries achieve food and nutrition security while protecting and enhancing the natural resources upon which agriculture is based. The 2014 FAO International Symposium on Agroecology for Food Security and Nutrition was an important step in fostering exchange and galvanizing momentum for a transformation towards regenerative, ecological, sustainable agriculture and food systems. The International Symposium is now being followed by regional symposiums in Latin America, Africa and Asia in 2015.

55. There are several initiatives aimed at promoting agroecological practices and solutions at the regional and national level. For example, the Ecological Organic Agriculture Initiative for Africa, launched by the African Union in 2011, seeks to mainstream ecological organic agriculture into national agriculture systems by 2025. An initiative launched by the Ministry of Agriculture of France in 2015 on soils for food security and climate seeks to increase soil fertility by 4 per cent per year through carbon sequestration in agricultural soil, thus mitigating greenhouse gas emissions. Several countries and areas, including Brazil, France, Paraguay and Haryana State in India, already integrate agroecology and sustainable agriculture in their respective national and subnational strategies and action plans. These regional

and national initiatives are complemented by numerous agroecological programmes at the local level in all regions of the world.

56. The dissemination of sustainable agriculture technologies must be supported by increased investments in international cooperation, rural infrastructure, agricultural research and extension services, technology development and plant and livestock gene banks to enhance agricultural productive capacity in developing countries, in particular in least developed countries. Technologies that draw on public domain knowledge, including traditional knowledge of indigenous peoples and other farming and pastoralist communities, are extremely useful.

57. The Rome-based agencies, namely FAO, the International Fund for Agricultural Development (IFAD) and WFP, estimate that eradicating hunger by 2030 will require an estimated additional $267 billion per year for investments in rural and urban areas and in social protection. Possible areas for additional investment include agricultural research and development, professional education and extension services, and sustainable agricultural practices that will lead to soil and water conservation, improved irrigation systems, higher water efficiency, biodiversity preservation and genetic improvements in agriculture, fisheries and forestry. In rural areas, the Rome-based agencies propose investments in transport infrastructure, electricity and communications, and access to credit and financial literacy. Mechanization may also be required to increase agricultural productivity, as may investments in agroprocessing operations to reduce food loss and waste. In addition, the provision of services to secure tenure rights is also essential.[47]

58. Public investments play a key role in agriculture, because the needed services are public goods, the scale of investment can be considerable, the services constitute natural monopolies (as in the case of irrigation systems), and returns may only materialize in a time frame that private investors find unattractive.[47] Public investments should also target information dissemination and communication. The Addis Ababa Action Agenda of the Third International Conference on Financing for Development calls for an increase in public investments in these crucial areas (see General Assembly resolution 69/313).

59. Enabling environments are of particular importance in the areas of food security, nutrition and sustainable agriculture. Sustainable development targets 2.b on correcting and preventing trade restrictions and distortions in world agricultural markets and 2.c on ensuring the proper functioning of food commodity markets, and provisions contained in paragraphs 83 and 108 of the Addis Ababa Action Agenda outline different measures to address structural deficits in the international trade and finance regimes. Technologies such as the Agricultural Market Information System must play an important role in bridging the information gap in agricultural commodities markets.

60. The summit on the post-2015 sustainable development agenda, to be held in September 2015, will launch a technology facilitation mechanism that will support the implementation of the Sustainable Development Goals. The multi-stakeholder forum on science, technology and innovation for the Sustainable Development Goals will provide a venue for facilitating interaction, matchmaking and the

[47] FAO, IFAD and WFP, *Achieving Zero Hunger: the critical role of investments in social protection and agriculture* (FAO, Rome, 2015). Available from http://www.fao.org/3/a-i4777e.pdf.

establishment of networks among relevant stakeholders and multi-stakeholder partnerships in order to identify and examine technology needs and gaps, including in scientific cooperation, innovation and capacity-building.

V. The way forward

61. Given that the green revolution model has reached its limits and the world faces a situation where, globally, nearly twice the calories necessary to feed the global population are produced but nutritious food is not always available where it is most needed and an inordinate number of calories are lost or wasted, new approaches are needed to address food, nutrition and climate challenges.

62. The problems created by the overuse of pesticides, such as neonicotinoids and glyphosate, and the increasing resistance of weeds to herbicides point towards the urgent need to use available alternatives and stimulate the development of new approaches to plant and animal health. They should deal with the causes rather than symptoms of the problems and provide long-lasting ecological solutions. Alternatives include shifting away from monocultures towards increasing farm-level diversity and agroecological practices, as increased production diversity is linked to both better human health via nutrition security, and biotic (pest control) and abiotic (climate) resilience.

63. It is of critical importance to introduce agricultural practices that move beyond yield gains to build up organic matter in the soil. This will contribute significantly to mitigating climate change while also reducing soil erosion and increasing soil fertility and soil health.

64 As identified by the report of the International Assessment of Agricultural Knowledge, Science and Technology for Development, agroecology and organic and regenerative practices provide increased resilience through crop, animal and system diversification, crop rotation, permanent plant cover and significant underground carbon storage.

65. Supporting smallholders and family farmers, especially women and youth, will entail not only improving their access to knowledge-intensive technologies and productive resources, but also increasing their labour productivity with appropriate mechanization for small-scale farming, thereby making farming less onerous and more attractive to women and youth.

66. Empowering women will pay large dividends, as they are responsible for 85 to 90 per cent of the time spent on household food preparation.[48]

67. Investments in pre- and post-harvest loss reduction should take precedence over increases in production.

68. Building the capacity of family farmers, fisherfolk, fish farmers, forest dwellers and rural producers, especially women, is needed to enable them to access resources, technology and services and to participate effectively in decision-making processes and policy dialogues. This can include strengthening participatory

[48] Brian Lipinski and others, "Reducing food loss and waste", working paper, instalment 2 of "Creating a sustainable food future" (Washington, D.C., World Resources Institute, 2013). Available from www.wri.org/sites/default/files/reducing_food_loss_and_waste.pdf.

research, providing more practical farmer training with an emphasis on women and youth and educating for jobs beyond production, including farm and value chain management. Investments are needed in research and development and farmer education institutions to remedy low productivity in agriculture in developing countries and build capacity for agroecology and regenerative agriculture. To be successful, research, education and extension services need to respect local constraints.

69. Research and development focusing on systemic approaches and sustainable agriculture and food systems require public support and therefore increased public investment and conducive policy environments, including provisions that allow all producers to access innovations in agricultural technology.

70. In addition to increased public investments in agricultural research, there is a need to increase the role of the private sector by providing incentives when the appropriation of rewards is more difficult in the short and medium term. Similarly, providing sustainable financing mechanisms for investing in technologies would support early adopters. Given the knowledge-intensive nature of some key technologies, extension services must be strengthened, including through community extension service providers and innovative new approaches to using information and communications technology.

71. Although a smart mix of financing is needed from various sources, it is important to keep in mind that private financing cannot be substituted for but should only complement public funding for food security, nutrition and sustainable agriculture. Gender-balanced investment aimed at closing the gender gap in agriculture should be encouraged.

72. Policymakers and stakeholders around the globe must ensure that agricultural technologies can realize their full potential in implementing the post-2015 development agenda, as well as the new climate change agenda that will be defined during the twenty-first session of the Conference of the Parties to the United Nations Framework Convention on Climate Change, to be held in Paris. Country-initiated, multi-stakeholder assessments can help to prioritize the allocation of public funds for public services, such as agricultural research, extension services, rural infrastructure, technology development and innovation. At the global level, the Committee on World Food Security, as the foremost inclusive international and intergovernmental platform on food security and nutrition, will play a key role in implementing sustainable development goal 2 and targets within other goals linked to food security, nutrition and sustainable agriculture.

73. Sound institutions, in particular in rural areas, are key to providing a framework and incentives for participatory research. Institutions can also establish transparent and inclusive legal frameworks on land tenure, land use and property rights, which are necessary for equitably applying agricultural technologies.

74. Although costly, monitoring systems are essential to assess technologies' impact on food security. The savings generated from avoiding additional expenditure and ultimately shifting away from ineffective agricultural technologies and policies, however, can offset monitoring costs.[21] Investments in better data collection and information systems will be key to monitoring progress regarding the implementation of the post-2015 development agenda.

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Promotion and protection of human rights: implementation of human rights instruments

United Nations Voluntary Trust Fund on Contemporary Forms of Slavery

Report of the Secretary-General

Summary

The present report, submitted in accordance with General Assembly resolution 46/122, presents the recommendations for grants to beneficiary organizations that were adopted by the Board of Trustees of the United Nations Voluntary Trust Fund on Contemporary Forms of Slavery at its nineteenth session, held in Geneva from 24 to 28 November 2014. It also provides information on other recommendations adopted by the Board.

* A/70/150.

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I. Introduction

A. Submission of the report

1. The present report was prepared in accordance with the arrangements approved by the General Assembly in its resolution 46/122, by which it established the United Nations Voluntary Trust Fund on Contemporary Forms of Slavery. It presents the recommendations for grants adopted by the Board of Trustees of the Fund at its nineteenth session, held in Geneva from 24 to 28 November 2014. The United Nations High Commissioner for Human Rights approved those recommendations on behalf of the Secretary-General on 10 December 2014.

B. Mandate of the Fund

2. In line with resolution 46/122, the Fund was established with the purpose of extending humanitarian, legal and financial aid to individuals whose human rights have been severely violated as a result of contemporary forms of slavery. The Fund receives voluntary contributions from Governments, non-governmental organizations, private or public entities and individuals.

C. Administration of the Fund and Board of Trustees

3. The Secretary-General administers the Fund through the Office of the United Nations High Commissioner for Human Rights (OHCHR), with the advice of a board of trustees and in accordance with the Financial Regulations and Rules of the United Nations.

4. The Board of Trustees is composed of five members with relevant experience in the field of human rights and, in particular, in issues of contemporary forms of slavery. They serve in their personal capacity and are appointed by the Secretary-General with due regard to equitable geographical distribution. In January 2014, the Secretary-General renewed the mandates of Asma Jahangir (Pakistan), George Omona (Uganda) and Michael Beresford Dottridge (United Kingdom of Great Britain and Northern Ireland) for a final three-year term ending on 31 December 2016. On 10 July 2014, the Secretary-General appointed for a first three-year term, renewable once and ending on 10 July 2017, Leonardo Sakamato (Brazil) and Nevena Vučković-Šahović (Serbia), replacing Virginia Herrera Murillo (Costa Rica) and Klara Skrivankova (Czech Republic). On 13 July 2015, following the resignation of Ms. Jahangir in October 2014, the Secretary-General appointed Renu Rajbhandari (Nepal) for a first term, renewable once and ending on 31 December 2016.

II. Management of grants

A. Admissibility criteria

5. In accordance with the mandate of the Fund as set out in General Assembly resolution 46/122, the beneficiaries of assistance from the Fund are individuals whose human rights have been severely violated as a result of contemporary forms

of slavery. Project admissibility criteria are outlined in the Fund's guidelines, which were revised at the eighteenth session of the Board. Beneficiaries of projects must be victims of contemporary forms of slavery and, when applicable, members of their families. Contemporary forms of slavery that qualify for project grants include traditional slavery, serfdom, servitude, forced labour, debt bondage, the worst forms of child labour, forced and early marriage, the sale of wives and inherited widows, trafficking in persons and human organs, sexual slavery, the sale of children, the commercial sexual exploitation of children and the use of children in armed conflict.

6. Priority in allocating grants is accorded to projects aimed at reparation, empowerment and integration of victims of contemporary forms of slavery through the provision of direct assistance. Such assistance may include medical, psychological, social, legal, humanitarian and educational assistance, vocational or skills training or other assistance in support of an independent livelihood. Detailed information on the types of assistance provided through the projects financed by the Fund, as well as their impact on beneficiaries, can be found at www.ohchr.org/slaveryfund. Brochures and leaflets on the Fund are also displayed there.

7. By 1 March 2014, the deadline for submitting applications for project grants for 2015, the Fund had received 126 applications. After the applications were screened by the secretariat of the Board, 93 were examined by the Board at its nineteenth session, held from 24 to 28 November 2014.

8. The deadline for submitting applications for project grants for 2016 was 1 March 2015. The admissible applications will be examined by the Board at its twentieth session, to be held in Geneva from 23 to 27 November 2015.

B. Monitoring and evaluation by the secretariat of the Board

9. At its nineteenth session, the Board was presented with 93 applications for project grants for 2015. Before the session, 42 of the projects had been evaluated in situ by the Board secretariat, Board members, OHCHR country and regional offices and human rights components of peacekeeping missions.

III. Financial situation of the Fund

10. Notwithstanding the persistent efforts of the members and secretariat of the Board, including the dissemination through diverse publications of the Fund's role in supporting organizations providing direct assistance to victims, the Fund remains underfunded. Between 2009 and 2014, as a consequence of the global financial crisis, annual voluntary contributions to the Fund fell by some 20 per cent, from $886,482 in 2009 to $683,005 in 2014. To meaningfully fulfil its mandate and adequately respond to the needs of victims, the Fund requires at least $2 million in contributions each year. The contributions received in 2014 covered only a third of that target.

11. Tables 1 and 2 show the contributions and pledges received for 2014 and up to 31 July 2015.

Table 1
Contributions and pledges received for 2014
(United States dollars)

Donor	*Amount*	*Date of receipt*
Australia	174 520	25 November 2014
Germany	341 997	27 March 2014
Greece	25 031	11 December 2014
Holy See	916	11 March 2014
Holy See	922	28 October 2014
India	25 000	28 October 2013
Luxembourg	12 391	18 February 2015
Portugal	6 226	23 December 2014
Qatar	10 000	22 September 2014
Netherlands	50 000	29 December 2014
Turkey	6 000	30 May 2014
United Arab Emirates	30 000	5 June 2014
Total	**683 005**	

Table 2
Contributions and pledges received from 1 January to 31 July 2015
(United States dollars)

Donor	*Amount*	*Date of receipt*
Germany	265 111	24 March 2015
India	25 000	26 January 2015
Luxembourg	10 834	27 April 2015
South Africa	7 845	30 March 2015
Total	**308 790**	

IV. Nineteenth session of the Board of Trustees

12. The nineteenth session of the Board of Trustees was held in Geneva from 14 to 28 November 2014. During the session, the Board held an informational meeting with 24 Member States. It also held meetings with the Director of the Human Rights Treaties Division and the Chief of the External Outreach Service of OHCHR to discuss the critical financial situation and the need to enhance visibility and outreach to showcase the impact of the Fund's work.

A. Grant-making recommendations

13. The Board was presented with 93 applications for project grants, amounting to some $1.4 million, that had been evaluated by its secretariat. It decided to accord

priority to the review of 61 projects that had been highly recommended for funding by the secretariat. It recommended the approval of 44 project grants, for a total of $588,900. The shortage of funding meant that the Board could not increase the average grant size to $20,000, as it had recommended at its eighteenth session.

14. Through those grants, the Fund will assist non-governmental organizations in 35 countries by supporting 16 projects in Asia, 12 in Africa, 5 in Eastern Europe, 4 in Latin American and the Caribbean and 7 in the countries of the Western European and other States group. Through the projects, 29,000 victims are expected to be provided with redress and rehabilitation services after having been subjected to contemporary forms of slavery, such as the worst forms of child labour, domestic servitude, forced and early marriage, bonded and forced labour, sexual exploitation and trafficking in persons for labour and sexual exploitation.

15. Figures I and II illustrate the breakdown of the 44 approved grants, by region and by type of contemporary slavery.

Figure I
Grants awarded in 2015, by region

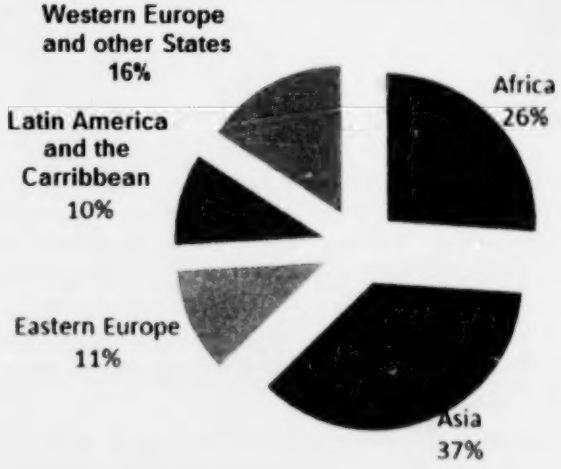
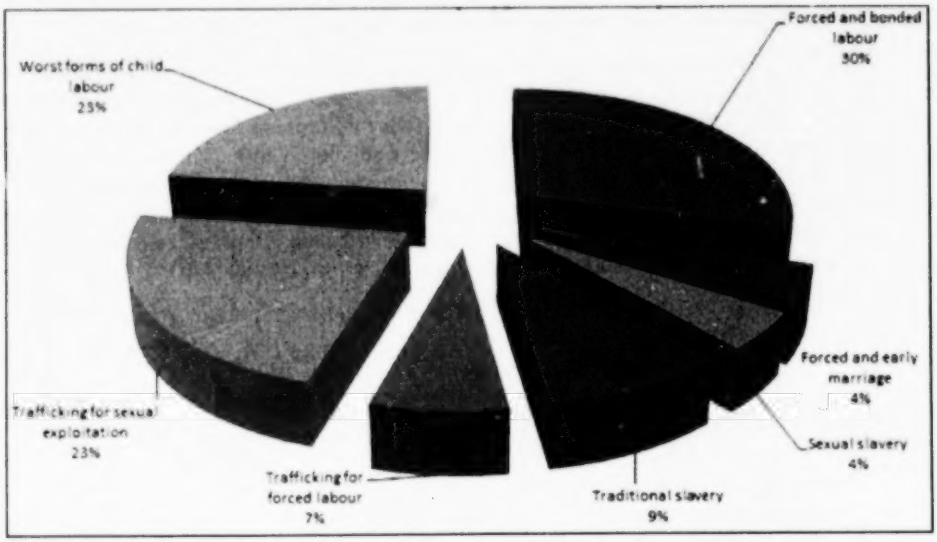


Figure II
Grants awarded in 2015, by type of contemporary slavery



B. Policy recommendations

16. The Board highlighted the need for enhanced coordination with other actors working on modern slavery throughout the United Nations system to avoid overlap and competition for resources and to ensure that the needs of victims were adequately covered and their rights protected. Consequently, meetings were held with relevant actors (see sect. C).

17. The Board underlined the need to promote the Fund as a platform for sharing knowledge on effective methodologies for the delivery of assistance to victims and agreed to place available reference materials online.

18. The Board agreed, to better balance the forms of slavery in the Fund's portfolio for 2016, to give special attention to applications relating to traditional slavery, forced labour, the worst forms of child labour and forced and early marriage, as well as to project proposals aimed at providing legal assistance to victims of modern slavery, especially those supporting strategic litigation.

C. Cooperation with United Nations agencies and mechanisms

19. The Board held meetings with other mandate holders and agencies working on issues of common interest.

20. On 26 November 2014, the Board held a meeting with the Head of the International Labour Organization Special Action Programme to Combat Forced Labour, Beate Andrees, to discuss collaboration. The Protocol to the Forced Labour Convention, 1930, adopted in 2014, which provides for protection and remedies for victims and requires States parties to develop national plans of action, was highlighted as a crucial new tool in efforts to combat modern slavery.

21. The Board held conference calls with the Special Rapporteur on contemporary forms of slavery, including its causes and its consequences, Urmila Bhoola, and the Special Rapporteur on trafficking in persons, especially women and children, Maria Grazia Giammarinaro, to discuss collaboration. The former updated the Board on her visit to the Niger, where she had met a former grantee of the Fund. She expressed her deep appreciation for the work carried out by the Fund, agreed to continue to recommend reliable organizations to the Fund's secretariat and committed herself to calling upon Member States to contribute to the Fund. The latter provided a briefing to the Board on specific issues on which she intended to focus during her mandate.

22. The Board also held a conference call with the Chair of the Board of Trustees of the United Nations Voluntary Trust Fund for Victims of Trafficking in Persons, Especially Women and Children, Benita Ferrero-Waldner, to discuss funding priorities and criteria for support. It was agreed to continue to share lists of applicants and grantees to avoid funding overlaps, as well as best practice in terms of provision of assistance to victims, project monitoring and trust fund management.

23. Lastly, the Board met the OHCHR Adviser on Trafficking to discuss ways to strengthen interaction, including by seeking her help to identify potential grantees and keeping the Board informed about the Inter-Agency Coordination Group against Trafficking in Persons.

D. International Day for the Abolition of Slavery

24. The Secretary-General made the following statement to commemorate the International Day for the Abolition of Slavery, observed on 2 December 2014:

> The United Nations estimates that there are more than 18 million people kept as slave labourers. Each day, women are trafficked, sold and locked in brothels. Every day, young girls are forcibly married, sexually abused or exploited as domestic workers. Twenty-five years after the adoption of the Convention on the Rights of the Child, boys and girls are still working in appalling conditions. Men, separated from their families, are still being locked in clandestine factories, working in situations of bonded labour with negligible wages and remote chances of ever repaying their debts.
>
> In the nineteenth century, the international community came together to declare slavery an affront to our common humanity. Today, Governments, civil society and the private sector must unite to eradicate all contemporary forms of slavery, including forced labour.
>
> There are grounds for optimism. The lifelong campaigner against child-bonded labour, Kailash Satyarthi, is this year's co-winner of the Nobel Peace Prize, helping to raise awareness about the issue. The recent End Child Slavery week has focused global attention on this continuing abuse of human rights. This year's first observance of the World Day against Trafficking in Persons (30 July), as well as the strengthening of international law on forced labour, has reinforced the determination of many to banish these barbaric practices.
>
> But much more needs to be done. I urge Member States, businesses, foundations and other donors to support the United Nations Voluntary Trust Fund on Contemporary Forms of Slavery so that civil society can carry out

essential projects for the rehabilitation and redress of victims. We also need clear-sighted strategies, strong national legislation and a commitment to coordinate the fight against this crime. I urge all States to ratify and implement the relevant instruments of international law — in particular the new protocol drawn up by the International Labour Organization, which is designed to strengthen global efforts to eliminate forced labour.

Together, let us do our utmost for the millions of victims throughout the world who are held in slavery and deprived of their human rights and dignity.

25. On that day, the Special Rapporteur on contemporary forms of slavery, including its causes and consequences, the Special Rapporteur on the sale of children, child prostitution and child pornography and the Special Rapporteur on trafficking in persons, especially women and children, also issued a joint statement on the need for greater accountability to eradicate rampant modern-day slavery.

V. How to contribute to the Fund

26. The Fund depends on voluntary contributions from Governments, non-governmental organizations and other private or public entities. Donors should indicate "for the Slavery Fund, account SH" on a payment order. For information on how to contribute, donors are requested to contact:

Secretariat of the United Nations Voluntary Trust Fund on Contemporary Forms of Slavery
Office of the United Nations High Commissioner for Human Rights
United Nations
CH 1211 Geneva 10
Switzerland
E-mail: slaveryfund@ohchr.org
Tel: 41 22 917 9376
Fax: 41 22 917 9017

VI. Conclusions and recommendations

27. **Owing to the funding constraints, at its nineteenth session the Board of Trustees was able to recommend only 44 grants for 2015, for a total of $588,900. The Board continues to be concerned about the insufficient level of contributions received and reiterates that the Fund needs at least $2 million each year to meaningfully fulfil its mandate to support victims.**

28. **In line with the message of the Secretary-General to mark the International Day for the Abolition of Slavery (2 December 2014), Member States, businesses, foundations and other potential donors are encouraged to support the Fund so that it can provide crucial rehabilitation assistance to victims of modern slavery worldwide. Contributions should reach the Fund before November 2015 for them to be duly recorded by the United Nations Treasurer in advance of the twentieth session of the Board, to be held from 23 to 27 November 2015.**